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A Comparison of the Perceptions of DuPage County, Illinois Superintendents Pertaining to Leader Behavior of Junior High School Principals in Terms of McGregor's Theory of Leadership

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A COMPARISON OF THE PERCEPTIONS OF DUPAGE COUNTY, ILLINOIS
SUPERINTENDENTS PERTAINING TO LEADER BEHAVIOR OF JUNIOR
HIGH SCHOOL PRINCIPALS IN TERMS OF MCGREGOR'S
THEORY OF LEADERSHIP

by

James G. Erickson

A Dissertation Submitted to the Graduate Faculty of the
School of Education of Loyola University in Partial
Fulfillment of the Requirements for the Degree
Doctor of Education

June

1975

ABSTRACT

A COMPARISON OF THE PERCEPTIONS OF DUPAGE COUNTY, ILLINOIS SUPERINTENDENTS PERTAINING TO LEADER BEHAVIOR OF JUNIOR HIGH SCHOOL PRINCIPALS IN TERMS OF MCGREGOR'S THEORY OF LEADERSHIP

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Loyola University of Chicago

June, 1975

Adviser: Dr. Melvin P. Heller

Purpose of the Study

The specific concern of this study was to investigate four main propositions; first, to determine selected items on formal evaluation instruments as the items relate to the McGregor theory of leadership; second, to determine the perceptions of DuPage County, Illinois, superintendents concerning junior high school principals' leader behavior as it relates to McGregor's theory of leadership; and third, to determine impediments in the process of evaluating junior high school principals. Through the utilization of the superintendents' McGregor X-Y perception questionnaire, twenty-eight superintendents who were the immediate superiors of the junior high school principals attempted to identify leader behavior and characteristics of the principals.

Procedure

One instrument was used in this study. The first section consisted of a superintendent summary to collect basic demographic data such as age, training, administrative experience, and other pertinent information. A second section, the superintendents' X-Y perception questionnaire, was used to evaluate junior high leader behavior as perceived by DuPage County, Illinois, superintendents.

The leader traits formulated six major variables. Four hypotheses were proposed. The median scores of each of the six groups were reviewed for analysis to determine if the perceptions of superintendents concerning junior high school principal leader behavior could be classified as an X or Y factor. A fifth hypothesis was proposed to determine if the evaluation instruments being used in each district had items that could be classified as X or Y factors.

Findings

The results compiled by the sampled group perceived junior high school principals as possessing leader behavior as follows:

1. Junior high school principals are self-motivating and work toward district and personal goals.

2. Junior high school principals assume administrative responsibility and have a voice in decision making at the district level.
3. Junior high school principals are not perceived as being passive and resistant to district goals.
4. Junior high school principals were seen as being able to direct their own behavior, preferring not to be led by their superiors.
5. Junior high school principals do not have their behavior modified to fit the needs of the district, by direct intervention or coordination by the superintendent.
6. Junior high school principals are a part of the decision-making team, which is decentralized and includes delegation of responsibility. This is not seen as a lowering of district standards.
7. Junior high school principals are evaluated in a democratic manner and work in a people-oriented organization.
8. Principals have sufficient guidance and corrective action given by an empathetic superintendent.
9. The eighteen district evaluation instruments analyzed for X-Y items revealed a higher percentage of X items than Y items, 48.7% to 44.7%.

Recommendations

1. It was discovered that many of the DuPage districts did not have any type of job description for the position of principal. It is recommended that a viable job description be written on a district level.
2. Many districts did not have a written instrument for evaluating junior high school principals. It is recommended that such written instruments be developed.
3. The evaluation process was shown to have many impediments. A systematic approach could be geared toward improving those areas as identified in this study.
4. An inservice program for principals could be established to develop Theory Y approaches in working with the teaching staff, students, and parents. This would involve the development of the items as discussed in the summaries of the five hypotheses of this study.

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VITA

James G. Erickson was born in Chisholm, Minnesota, and is a product of the Chisholm Public Schools. He received his Bachelor of Science degree from the University of Minnesota, Duluth, in 1957. He received a Master of Arts degree from Eastern Michigan University in 1967, and the Doctor of Education degree from Loyola University of Chicago in 1975.

James G. Erickson began his educational career in Clarenceville, Michigan as a high school classroom teacher in the social sciences. His experiences in Hibbing, Minnesota included classroom teaching in junior high school science and social studies. Mr. Erickson then taught in Livonia, Michigan at the junior high level and was departmental chairman of the English and Social Studies Department at Whittier Junior High School. He also taught in the social studies department at Bentley High School in Livonia. Next, he was appointed assistant principal and then principal at Franklin Junior High School in Wheaton, Illinois.

At the present time James G. Erickson serves as Assistant Superintendent for Community Unit School District #200, DuPage County, Wheaton, Illinois.

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CHAPTER I

THE PROBLEM

"Wherever there are human beings there will be evaluation. Man is a valuing and a goal-seeking being. Even if he were to decide not to evaluate, he would end up evaluating how well he had succeeded in giving up evaluation."¹ Adequate evaluation has been a concern of educators and researchers for years.

"So, the issue is not whether there will be evaluation; rather it must involve questions such as what, how, by whom, for what purpose, and with what consequence."²

There is much external demand for evaluation. Rising costs, troubles within schools, loud voices of criticism, the specific attention of the government, and the widespread emphasis on accountability are all factors contributing to the heightened interest.

Forces for school reform, such as taxpayers' associations, teachers' unions, and concerned parents, are changing the roles that the principal traditionally has played, thus the emerging principalship includes the key concepts of accountability.³ The principal will be held responsible for the

¹Robert B. Howsam, "Current Issues in Evaluation," National Elementary Principal 52 (February, 1973):12.

²Ibid.

³The Principalship (Washington, D. C.: National Association of Secondary Principals, 1970), p. 5.

impact the school has on the students, the establishment of goals for the school, and the responsibility for the success or failure of the school in reaching those goals. His success will be measured by how well he performs these activities and discharges his responsibilities.

Decision making has been identified as a part of accountability with a learning toward an increasingly large future role which will include such areas as: fiscal accountability in an era of tightened economic conditions; results of student achievement data in both cognitive and affective domains; and evaluation of curricular programming.

One of the main conclusions of a recent study by the Academy for Education Development, Incorporated was the fact that principals have been overlooked in today's emphasis on school reform; they are the school's decision makers.⁴

Principals must serve their teachers, pupils, and parents, as well as the school board and central office. In 1968, Drucker saw the school administrator becoming extremely visible to individuals and community groups.⁵ Master contracts for teaching groups and demands for more equality of education among schools add additional emphasis for systematic evaluation. This includes principal evaluation in many master contracts as Barro wrote in 1970, "Just as for teachers, accountability measures for school administrators are measures of

⁴Leadership in Public Education Study (Washington, D. C.: Academy for Educational Development, Inc.

⁵Peter F. Drucker, "Decision-Making and the Effective Executive," National Association of Secondary School Principals Bulletin 52 (May, 1968): 24-39.

relative pupil performance in a school after adjusting for differences in variables outside of the administrator's control."⁶

"Principals tend to view evaluation like a mother-in-law, necessary but sometimes difficult to live with. This is true when evaluation is used synonymously with accountability."⁷

American education has been accountable to the public where the board of education represents the public, who in turn approves the taxes that operate the schools. It is in this context that evaluation is an acknowledgement of the view that the principal is the single most important determiner of educational climate in the school.⁸

Fred Wilhelms in "The Principal on the Spot," states, "Principals have to be leaders not just because they like to be, or because they enjoy the taste of power or prestige. Principals have to be leaders because the well being of schools demand it. The position they hold is so strategic that it would be a disaster to lose its strength."⁹

Kenneth Tye, in "The School Principal, Key Man in Educational Change," expressed the following, "The principal can and should be the key agent for change in the school. This means that the principal performs a leadership role."¹⁰

⁶Stephen M. Barro, "An Approach to Developing Accountability Measures for the Public Schools," Phi Delta Kappan 3 (December, 1970):200.

⁷William L. Pharis, "The Evaluation of School Principals," National Elementary Principal 52 (February, 1973):36.

⁸Ibid., p. 36.

⁹Fred Wilhelms, "The Principal on the Spot," NASSP Bulletin (November, 1967):65.

¹⁰Kenneth Tye, "The School Principal, Key Man in Educational Change," NASSP Bulletin 56 (May, 1972):77.

Despite the prevailing discussions about accountability, the Educational Research Service reported in 1971 that only eighty-four school districts claimed to have formal administrator evaluation systems, that larger school districts are more likely to evaluate administrators than smaller districts, and those larger districts are still using check list instruments.¹¹

George Redfern expanded upon this report by summarizing the following points: 1) An increasing number of school districts have developed and are carrying out systematic evaluation procedures for principals and other administrators. 2) In 1964, only fifty evaluation programs, many very informal, were reported in operation. In 1968, the number had increased to sixty-two, and in 1971, the total is eighty-four. 3) The larger the school system, the more likely an evaluation program exists for principals. 4) Evaluation programs apply to all administrative personnel in most instances. 5) The most common practice was to evaluate personnel annually. 6) Among the various purposes in evaluating principals and other administrators, four reasons predominate: (a) to identify areas needing improvement, (b) to measure current performance against prescribed standards, (c) to establish evidence to dismiss personnel, and (d) to enable the individual to formulate appropriate performance objectives.¹²

About seventy-five of the responding school systems evaluate administrators by predetermined performance standards, rating being made numerically or descriptive phrases, or by written comments with indications of needed

¹¹Lorraine Poliakoff, "Recent Trends in Evaluating School Personnel," The National Elementary Principal 52 (February, 1973):39.

¹²George B. Redfern, "Principals--Who's Evaluating Them--Why and How," NASSP Bulletin 56 (May, 1972):85-90.

improvements. Twenty-five percent of the reporting systems had adopted performance objective methods of evaluation wherein tailored objectives cooperatively determined were the focus of the evaluation. States are beginning to mandate evaluation by statute. Five states are: California, Florida, Hawaii, Oregon, and Washington. Larger school systems tend to use predetermined performance standards to evaluate administrative and supervisory personnel, while the performance objectives approach is used most often in smaller systems. Also, assistance is usually provided the individual who receives the unsatisfactory evaluation. This is usually in the form of counseling with concrete suggestions for improvement. Respondents also stated that there are several basic assumptions about evaluation. They are:

- 1) Principal's productivity can be evaluated. Not only can it be, but it should be.
- 2) The principal should understand what is expected of him--responsibilities and expectations should be stated in written form, and if not in writing, oral understanding should be clear and carefully delineated.
- 3) The principal should know to whom to look for direction and supervision and he should understand that evaluation is an inherent component of accountability.
- 4) Standards of excellence should be designed to be used by the principal as yardsticks against which his performance may be measured.
- 5) Performance objectives relating to the standards of excellence should be formulated cooperatively by the principal and his evaluator and used to evaluate performance.

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To this date, progress has been measured by objective evaluation instruments, graphs, checklists and other devices. These measures have been

¹³Ibid.

inadequate because they are very general and impersonal and task-oriented rather than goal-oriented. The principal is evaluated according to his success in satisfying predetermined performance criteria.¹⁴

Evaluation takes place in all school systems. The Board of Education may be involved in the evaluation in some instances. Usually judgments are made informally by the superintendent or his assistant for purposes of determining salary or deciding whether the individual will be rehired or promoted. Salary, promotion and contract renewal have been the primary goals for evaluation. More recently, however, the evaluation process is being used to promote the professional growth of the administrator.¹⁵ Systematic evaluation provides a tool for the improvement of leadership performance.

The place of evaluation and the improvement of managerial performance has been long recognized by business and industry. Systematic evaluation by objectives has been used with reasonable success in industry and offers promising possibilities for educational institutions.

Several steps have been identified in evaluating principals. Step One would be to identify the full range of possible targets. Step Two - settling on achievable targets; these targets should call into play the full range of the principal's skills. Step Three - the establishment of performance criteria must take place. The criteria must be written with care as they form the basis of the supervisor's eventual evaluation of the principal. Step Four - achieving stated goals brings into process all of the talents the principal may possess. Step Five - evaluation is a joint effort of the principal and the

¹⁴Ibid.

¹⁵George B. Redfern, Evaluation of Administrators (Worthington, Ohio: S. M. I., Inc.), p. 104.

superintendent. The process should be initiated by the principal, the first step requiring a self-evaluation. The principal and the superintendent will measure achievement of job targets assigned to the principal. To conclude the process, the principal might report in full on the results of his evaluation to those who worked with him so that all may share in the lessons learned in the experience.¹⁶

George Redfern also suggests that included in the process of evaluation should be the following five steps: 1) Collection and use of factual information plus evaluation data to point out leadership strengths and weaknesses. 2) Establishment of developmental action that enables principals to overcome weaknesses and to intensify strengths. 3) Keeping abreast of trends in leadership development and adapting those which seem most promising. 4) Providing opportunities for principals to gain intrinsic satisfactions as well as extrinsic rewards for job performance. 5) Remembering that professional growth and development must be cultivated. The evaluation process should be high priority in the superintendent's value system.¹⁷

Everett Nicholson asks the question, "What can school principals do at this time? Probably the most important thing is to be active in the process of developing accountability schemes for the principalship. The types of principal evaluation format will be numerous and fittingly adapted in large measure to local conditions. Whatever the scheme is, the principal must be highly involved and have considerable input, for who knows better than the

¹⁶The Principalship (Washington, D. C.: National Association of Secondary School Principals, 1970), p. 5.

¹⁷George B. Redfern, Evaluation of Administrators (Worthington, Ohio: S. M. I., Inc.), p. 104.

principal himself what criteria should be utilized in the determination of effective administrative performance."¹⁸

Purpose of the Study

The purpose of the study is to identify the strategies and procedures employed by selected DuPage County, Illinois superintendents in their evaluation of junior high school principal leadership behavior in relationship to McGregor's theory of leadership.

Secondary considerations included in the study are:

1. To determine trends of selected items on formal DuPage junior high school principals evaluation instruments as the items relate to the McGregor theory of leadership.
2. To determine perceptions of selected DuPage County, Illinois superintendents concerning junior high school principals' leadership behavior as it related to McGregor's theory of leadership.
3. To determine the consistency of DuPage County superintendents' perceptions in terms of McGregor's theory of leadership when compared to the evaluation instruments.
4. To determine impediments in the superintendents' evaluation process as they relate to McGregor's theory of leadership, and
5. To identify those leadership characteristics on evaluation instruments that are important to junior high principals' success in terms of McGregor's theory of leadership.

¹⁸Everett W. Nicholson, "The Performance of Principals and the Accountability Syndrome," NASSP Bulletin 56 (May, 1972):97.

Douglas McGregor examined the conventional view of management and its accompanying assumptions about human behavior as a background for his Theory X and Theory Y philosophies of management. He called the traditional, highly structured form of management supervision Theory X. His counter plan, based on an understanding of human relations and motivation, he called Theory Y.

Basically, Theory X management is by directives and control with little or no consideration for human potential and motivation. Theory X assumes that people really don't care about on-the-job initiative and prefer to be told what to do. Money, fringe benefits, and threats of punishment are assumed to be motivators. Theory X managers practice close control based on power, authority, implicit obedience and a negative motivational style.

McGregor questioned these traditional assumptions and management practices. He felt that human potential could be unleashed and channeled into self-directing, creative goals. Basing Theory Y on the assumptions that people can enjoy work and be motivated, he introduced this management process as an opportunity to create conditions conducive to self-growth on the job. The individual became an important contributing factor to the job itself.

Implications for management under Theory Y center around skillful abilities in human relations. A Theory Y manager involves broad, general supervision with a basic respect for the abilities of his subordinates. A Theory Y manager identifies with the workers and involves workers in decisions whenever possible. Management encourages workers to develop their own human resources. This freedom to develop and assume responsibility is a supportive style of management which runs through all levels of an organization.¹⁹

¹⁹Douglas McGregor, The Human Side of Enterprise (New York: McGraw Hill Book Co., Inc., 1960), pp. 139-141.

Background to the McGregor X-Y Theory

In 1960, McGraw-Hill published the book by Douglas McGregor entitled The Human Side of Enterprise. The book outlined the major theories of McGregor in detailed fashion. He stated that a major task of management was to organize human effort in the service of the economic objectives of an enterprise with each managerial decision having behavioral consequences. Therefore, to be successful, management has to depend upon the ability to predict and control human behavior. Management assumptions, generalizations, and hypotheses make up the theory and are inseparable from practice.²⁰

Monetary incentives implied that people will work harder to get more money. But incentive plans do not take into account several other characteristics of behavior. McGregor listed these as: 1) Most people want the approval of co-workers above increased pay. 2) No managerial assurances can persuade workers that incentive rates will remain inviolate regardless of their production. 3) That the ingenuity of the average worker is sufficient to outlive any system of controls devised by management.²¹

McGregor also stated that the conventional principles of management were derived primarily from the study of models such as the military and the church in which unit of command was incorporated. He stated that classical organizational theories suffered from ethnocentrism which ignored the significance of political, social, and economic areas in shaping their organizations and influencing managerial practice. Examples of neglect include standard of living, level of education, political complexion, technological

²⁰Ibid., pp. 3-4.

²¹Ibid., p. 6.

changes and also erroneous behavioral assumptions.

Several methods were used to influence workers. The terms of "up and down" within the structure referred to the authority scale which included line and staff position, span of control, physical coercion, persuasion, professional "help" and selective adaptations of the above variables. These necessitated success which depended upon altering the ability of others to achieve their goals and satisfy their needs. The critical factor in determining the effectiveness of control methods was the degree of dependence. Such effectiveness of control depended upon the ability to enforce it.

One example listed by McGregor was the threat of unemployment, causing workers to use such measures as indifference to organizational objectives, low standards, protective behavior, and lack of responsibility.²²

The organization involved the high degree of inter-dependence which subordinated the achievement of goals to the satisfaction of workers' needs. As a result, the conventional organization gave full recognition to dependence upward but failed to recognize the significance of interdependence of workers.

Theory X-Traditional Management

McGregor stated that conventional management assumes that the average human being has an inherent dislike of work and avoids it whenever possible. Most people have to be coerced, controlled, directed or threatened with punishment to get them to put forth effort toward the achievement of the organizational objectives. Theory X managers criticize human relations as being permissive and too democratic. The average worker prefers to be directed and

²²Ibid., p. 33.

wishes to avoid responsibility, thus exhibiting little ambition and highly valuing security.

Man has needs that have to be satisfied. When these needs are satisfied, others replace them. Therefore, satisfied needs are not motivators of behavior. McGregor's conclusion is that the typical organization offers little opportunity for satisfaction of egoistic needs of people at lower organizational levels as well as little opportunity for self-fulfillment, potential and creativity.²³

McGregor asked the question, "Why weren't people more productive?" If money, working conditions, benefits, employment and wage differential equal "status," people would be insistent on demanding more money. He calls this the "Carrot and Stick Theory," and stresses that it is inadequate to motivate human behavior.

Theory Y

McGregor took a different view toward the "conventional" theories. He stated the following: 1) Expenditures of physical and mental effort in workers is as natural as play or rest. 2) External control and threat of punishment are not the only means for bringing about effort toward organizational objectives. Man can exercise self-direction and self-control in the service of objectives to which he is committed. 3) Commitment to these objectives is the reward associated with their achievement, taking into account man's ego and self-actualization.²⁴

²³Ibid., p. 23.

²⁴Ibid., p. 41.

The average human being learns to seek responsibility under proper conditions and has the capacity to exercise a relatively high degree of imagination, ingenuity and creativity in the solution of the organizational problems. Under the conditions of modern industrial life, the intellectual potentialities of the average human are only partially utilized. People are dynamic, not static, human growth oriented, selective in the adaption, and a resource of substantial potentiality.²⁵

McGregor espoused what he called the "Principle of Integration," which he defined as "The creation of conditions such that members of the organization could achieve their goals best by directing their efforts toward the success of the enterprise."²⁶ He went on to explain, "These are more effective in achieving economic objectives and adjustments if they relate to the goals and needs of the members. Both the organization needs and the individual needs should be recognized. This should not be construed to include "soft management" or "permissiveness."

McGregor's strategy had several phases in spelling out his principle of integration. They include: 1) There should be clarification of the broad requirements for every position. 2) There had to be the establishment of specific targets with a limited time period. 3) Included must be a statement of the management process during the target period. 4) There had to be self-appraisal of results.²⁷

In elaborating upon this strategy, McGregor concluded that each formal position must have a description with the limits of authority stated, with day

²⁵Ibid., p. 48.

²⁶Ibid., p. 49.

²⁷Ibid., p. 56.

to day direction and control within the limits of the position. This would include assigning tasks and supervision, giving of recognition and criticism, correction of mistakes and resolution of difficulties in the day-to-day operation. There also had to be a periodic summary on a standardized rating form which took into account the quality and quantity of work, the attitude of the worker, including getting along with his workers, use of good judgment, and his reactions.

There should be a session where these are discussed, including a formal appraisal of each member in order to administer salaries, promotions, developmental programs, etc. Each position description had to include its function within the organization, what the person was to do, and the chain of command and an equitable salary class scheme.

Management should take into consideration job performance, individual qualifications, personal interests, and the individual's assumptions about his management role and awareness of changing requirements within the organization. McGregor felt there must be equity based upon objective data, time and service within the organization, the individual's merit, and also group rewards.²⁸

Theory Y also included a matching of the individual to the position. Job requirements are dynamic and not static. The individual who possesses different qualifications and performs the job differently still achieves objectives equally well. The principle of integration demands an active rather than a passive role for the individual based on data, goals and qualifications. Judgments about subordinates are likely to be based upon data and experience and will improve quality.

²⁸Ibid., p. 92.

Another main tenet of McGregor is participation which does not eliminate conflict and disagreement. This is not an abdication of power, and does not waste time or lower efficiency and weaken its effect. It also is not a managerial "bag of tricks" or a manipulative device. Participation applies to the individual as well as the group.²⁹

McGregor states, "The degree of participation would be suitable depending upon the variety of factors, the problem of issue, the attitudes and past experience of subordinates and the manager's skill and point of view. Its major purpose is to encourage the growth of subordinates and their ability to accept responsibility."³⁰

There are certain risks which McGregor realized were connected with participation, including the opportunity of the manager to be influenced by his subordinates. He felt this was most consistent with the general theoretical approach as he proposed it. Participation which grew out of the Theory Y assumption offered substantial opportunities for ego satisfaction for the subordinate thus motivating him toward organizational objectives. Participation is an aid in achieving integration in the following ways: 1) A person receives satisfaction from tackling problems and finding successful solutions. 2) There is a greater sense of independence in achieving control over one's destiny. 3) There is recognition from one's peers and one's superiors.³¹

A major tenet of McGregor is that of managerial climate or the nature of relationships.³² The climate creates an environment which encourages commitment and opportunities. Climate depends upon the attitude of the

²⁹Ibid., p. 124.

³⁰Ibid.

³¹Ibid., p. 130.

³²Ibid., p. 132.

superior more than his type of leadership or style. A worker has to receive a fair break in attempting to achieve his goals. The manager has to have influence upward in the organization for each of his workers in the area of salaries, promotion and working conditions. A manager also has to be confident. He does not have to know all the details, but should be very capable and the subordinates have to feel secure. The manager has to practice effective delegation, giving opportunities to subordinates to develop their capabilities.³³

Involved in the "manager climate" is the line-staff relationship in which authority is given within a worker's own function, and the individual has only one boss. Too much reliance on authority produces counter forces among subordinates, thus a manager has to delegate authority, yet keep in control by staying within policy limits and providing data to each of the staff members to make decisions with specialists and work out the details.

An important part of McGregor's Theory Y is "Management by Exception."³⁴ The staff studies reports and alerts the manager to only those things which need his attention and they become policemen without authority fears, since there are no counter measures made to make the organization ineffective. Theory Y states also that human being possess an internal "control mechanism" which makes external control ineffective.³⁵ Under proper conditions, a worker can exercise self-direction and self-control if he is committed to the organization's objectives. This makes the manager's task one of helping people to discover the objectives that are consistent both with the organizational requirements and the worker's personal goals. The manager, therefore, engages in teaching, consulting and relinquishing control in the conventional sense.

³³Ibid., p. 141.

³⁴Ibid., p. 149.

³⁵Ibid., p. 152.

The principle of self-control states, "That each member of management controls his own, not his subordinate's job. Delegation has to concern itself with results, not details."³⁶

Delegation also is relative, not absolute. This principle of self-control assumes that the subordinate can be helped to accept responsibility; therefore, the staff role provides professional help to all levels of management. Prestige and status for the workers is higher, dependent on the level at which they can offer help.

Examples given by McGregor included help in planning strategy which recognized a worker's specialized knowledge and skill, such as in research and problem analysis. Another area for workers dealt with help with respect to managerial controls in which the decision carried out by people is technically sound and scientific. A last area mentioned by McGregor was that of help in administering services such as maintenance, security and administration.³⁷

Prior to the 1930's, leadership was possessed by certain individuals and limited to those uniquely endowed with inherited abilities and traits. McGregor felt that certain characteristics were important depending upon certain circumstances, but that skills and attitudes can be acquired and modified extensively through competence, planning, initiating action, problem solving, communicating, delegating responsibility, and social interaction within the organization.³⁸

Leadership includes such things as the characteristics of a leader, attitudes, needs and personal characteristics of the followers, and the characteristics of the organization, such as purpose, structure and tasks, and

³⁶Ibid., p. 160.

³⁷Ibid., p. 171.

³⁸Ibid., p. 182.

the socio-economic and political climate. Leadership thus is very complex in its relationship as it pertains to leadership variables. Management's task becomes that of providing a heterogeneous supply of human resources from which the individual can be selected to fill a variety of specific, but unpredictable needs.³⁹

Management has to have a developmental program which involves many workers, not a select few, the goal being to develop unique capabilities and potentialities of each individual. This process becomes a continuous function of management with promotion policies using heterogeneous resources as openings within the organization occur.⁴⁰

McGregor felt that there were many important factors in an effective working group. These are as follows: 1) An atmosphere which is informal, comfortable and relaxed. 2) Discussion in which everyone participates. 3) Tasks that are understood and accepted by its members. 4) Members need to listen to each other even if there are disagreements. 5) Decisions are based upon consensus. 6) Criticism is frequent, frank and comfortable, but does not include personal attack. 7) People need to be free to express their feelings and ideas with no hidden agendas. 8) Action is taken based upon assignments that are clear and accepted. 9) The chairman does not dominate and the leadership is shifted from the chairman at certain times.⁴¹

Summary of McGregor

There are several summarizing statements which could be made about McGregor's theory of management. Four basic statements include: 1) Management is responsible for organizing the elements of productive enterprise. 2) People

³⁹Ibid., p. 182.

⁴⁰Ibid., p. 232.

⁴¹Ibid., p. 234.

are not by nature passive, or resistant to organizational needs. 3) Motivation and potential for development, including the capacity for assuming responsibility and readiness to direct behavior toward organizational goals, are all present in people. 4) The essential task of management is to arrange the organizational conditions and methods of operation so that people can achieve their own goals best by directing their efforts toward organizational objectives.⁴²

McGregor's Y Theory also includes decentralization and delegation of authority, job enlargement, participation and consultative management and performance appraisal.

Criticism of McGregor's X-Y Theory

In an article called "Chairman Mac in Perspective," Warren G. Bennis disagrees with some of McGregor's theory.⁴³ After quoting the elements of Theory X, Bennis felt that Theory X is still alive and living in most of our institutions, regardless of how intellectually acceptable Theory Y is. It is not only alive in the industrial world, but is active in the assumptions behind advertising campaigns, political campaigns, educational practices and the management of our health and welfare institutions.

Bennis agrees that active participation by all must be included in management and that there should be a transcending concern for individual dignity, worth and growth. He also states that there needs to be re-examination and resolution of the conflict between individual needs and organizational goals.

⁴²Douglas McGregor, "Human Side of Enterprise," The Management Review 46 (1957):22.

⁴³Warren G. Bennis, "Chairman Mac in Perspective," Harvard Business Review 50 (September-October, 1972):140-49.

This can be accomplished through effective inter-personal relationships between superiors and subordinates and the concept of influence must not rely only on coercion, compromise, evasion and avoidance, pseudo-support, or bargaining; but on openness, confrontation and working through of differences.

Bennis quotes McGregor as stating that human growth is self-generating and furthered by an environment of trust, feedback and authentic human relationships and that the employee must take the responsibility for his own growth.⁴⁴

Two criticisms are stated by Warren Bennis. How can a worker satisfy his bosses' needs and know what the leader is like? If the leader is caring, protective, and a wise helper and counselor, he rarely intervenes except when asked or when absolutely necessary. The leader is also a perceptive human manager, making adjustments and cultivating the organizational climate so that his labors bring about changes in his workers.⁴⁵

Bennis feels that success or failure of workers is the manager's responsibility, despite McGregor's claim that the individual growth is the function of the individual himself. The leader is held responsible for the nurture and development of his employees whether or not they develop, succeed or actualize. This is the leader's burden. The second criticism states that McGregor's theory of organization depends on psychologically determined superior-subordinate relationships operating in an environmental void where there are no technological factors, norms or groups, nor are there economic, cultural, legal or political impositions. The theory does not take into

⁴⁴Ibid.

⁴⁵Ibid., pp. 148-49.

account changing world conditions, educational advances, conflicts and population growth that bring strong environmental forces to bear on the organization.

Evaluation, the Principalship, and the McGregor X-Y Theory

Valerie Bockman, in an article entitled "The Principal as Manager of Change," stated, "Decision-making is collegial in today's democratic, loosely structured, self-motivational environment."⁴⁶ Human behavior theorists like Likert, Maslow, Argyris, McGregor and Herzberg offer analysis and insights which demonstrate our basic problem and thus offers possible direction for reformative effort. Their theories indicate that a change in the manager's attitudes towards people is basic to restructuring and reform. Evidence of such a change in attitude might be a willingness to regard others as adults who tend to be self-controlled, self-directed and responsible and who seek growth through achievement certainly are capable of self-determination under a democratic system. Bockman further states:

The traditional managers regard the formal relationships of responsibility, authority and accountability as flowing down through highly centralized managerial hierarchy. Most public education institutions along with business, the military, and the church qualify as such highly centralized structures characterized by a downward flow of authority and unwillingness to share in decision making and little delegation of authority and responsibility. Teachers are in most part, excluded from administrative decision making and students are usually excluded from teacher decision-making.⁴⁷

Fenwick English, in an article entitled "Crisis in Middle Management," stated that various theories of management and administration have been widely proclaimed as having changed the role of the leader, but the school principal

⁴⁶Valerie Bockman, "The Principal as Manager of Change," NASSP Bulletin 55 (October, 1971):22.

⁴⁷Ibid., p. 26.

still faces the conditions that deny participation in such contemporary theories.⁴⁸

He stated:

Principals have become captives in their own schools and their own school system procedures. They are currently being solidified into the compressed middle of an archaic line-staff hierarchical administrative structure which responds by tightening job descriptions and having authority and power reflected by some in the call for accountability for a sustained thrust down the line. Those at the apex of authority passed new rules, defined standards, issued more dicta, adapted various mandates and policies and added more personnel at the central office level to carry out a variety of ad hoc responsibilities that eventually wound themselves into the permanent organizational structure.⁴⁹

Fenwick English alluded to the fact that the principal should be the educational leader, taking on a major commitment of time and being willing to cultivate new skills. The principal is responsible for maintaining a climate conducive to change and innovation, encouraging education as a never static, growing process, keeping the lines of communication open between himself and those with whom he works. Also, the school staff is a social organization with inter-personal feelings being of great importance to the goals of the organization and the top leadership having a special responsibility.

Human relation problems would most likely be posed by the administration, thus the character of staff relations depends heavily on the administrator, including the kind of person he is, what he believes as to the worth of the individual and the way he treats others. Administration involves the feelings of people and solutions to problems not always following the well-known principles of group action or generalizations regarding human nature.⁵⁰ In an era

⁴⁸Fenwick English and James Zaharis, "Crisis in Middle Management," NASSP Bulletin 56 (April, 1972):1-10.

⁴⁹Ibid.

⁵⁰Ibid.

of accountability, where only results count, good manners and good intentions go by the wayside. This necessitates task descriptions that are understandable and accurate and an evaluation of the tasks and their performance. Evaluation forms must be precise and objective, but viewing people as a resource which must be managed with care.⁵¹

The Educational Policies Commission stated that the superintendency of schools was one of the most crucial and most difficult public positions in American life. The occupant of that position, more than any single person, influenced the shape of public education.⁵²

Methodology of the Study

The study sample included twenty-eight DuPage County, Illinois superintendents whose districts employ junior high school principals. DuPage County was selected for several reasons. The county is located directly West of the City of Chicago, thus having a metropolitan flavor, and it has a relatively sophisticated understanding of an organization at the junior high school level.

The DuPage County Junior High School Principals' Association has historically been the most organized and influential regional group throughout the past twenty-five years. This has also been reflected in the group's legislative influence. In addition, DuPage County has been recognized as a leading area in junior high school programming by such a prominent educational leader as J. Lloyd Trump.⁵³ A number of additional studies have been published

⁵¹Ibid., p. 10.

⁵²The Unique Role of the Superintendent of Schools, Educational Policies Commission, 1965, p. 1.

⁵³Statement given personally to this writer during interview at NASSP annual convention at Anaheim, California, 1972.

concerning DuPage programming that were considered in the selection for the study.⁵⁴

A DuPage County principal, Mr. Donald Chase, past president of the DuPage Junior High School Principals' Association, was recently elected to the presidency of the Illinois Principals' Association, representing Illinois principals at all levels of the educational system.

The districts included in the study are contiguous, yet vary in size and organizational structure. At the time the superintendents were interviewed, there were three unit districts, the other twenty-five being dual districts.

An introductory letter was sent to each superintendent requesting the instrument(s) they were using within their district to evaluate the junior high school principal(s). Sixteen districts had junior highs with grades 7-8; eight districts with grades 6-8; two districts with grades 5-8; two districts with grades 4-8. The number of junior high school principals in each district varied from one to four.

Eighteen of the twenty-eight school districts submitted evaluation instruments. The chart on page 25 indicates the district size the number of junior high schools of those not having formal evaluation instruments. Without exception, the superintendents in the interviews indicated the use of a procedure that was informal, but that evaluation took place and a report was given to the Board of Education yearly.

Each superintendent was interviewed as a follow-up procedure. Interviews lasted from one-half to two hours, during which time the questionnaire was completed and further elaboration made concerning the evaluation procedure.

⁵⁴Florence Croger, History of DuPage Elementary School Principals' Association, unpublished monograph.

DISTRICTS NOT SUBMITTING EVALUATION INSTRUMENTS

District	Student Population	No. Junior High Schools
Bloomington #13	250	1
Downers Grove #58	5716	2
Elmhurst #3	536	1
Glen Ellyn #41	1056	1
Gower #62	473	1 (4-8)
Itasca #10	382	1
Maercker #60	503	1 (4-8)
Queen Bee #16	613	1
Roselle #12	283	1
Salt Creek #48	601	1 (5-8)

The form for categorization of the currently used instrument was based on McGregor's writings taken from The Management Review, 1957. The four categories include: (1) Decentralization and delegation; (2) Job enlargement; (3) Participation and consultative management, and (4) Performance appraisal.

The questionnaire used in this dissertation was adapted from concepts found in McGregor's The Human Side of Enterprise. Selected variables were developed around McGregor's four main premises and are related to the evaluation of the junior high school principal by the superintendent.

The questionnaire was validated in the fall of 1973, with participation from seven DuPage County assistant superintendents not included in the study, resulting in appropriate modifications based upon their responses to the questions and interpretation as to the meaning of terms being used, as well as directions that were included.

These ideas were placed on a rating scale. The respondent indicated his perception of the statement by a mark on the scale.

The mean of each item was calculated and recorded. Hypotheses 1, 2, 4 and 5 were tested by calculating the median of numeric values of responses.

Results split between two groups; namely, the superintendents selecting Theory X and those selecting Theory Y items. The information is descriptive and is included in Chapter III, Analysis of the Data.

Hypotheses of the Study

1. The superintendents participating in the study perceive junior high school principals as (Y) self-motivating leaders who work toward goals when they are congruent with the district goals.
2. The superintendents participating in the interview perceive junior high school principals as (Y) possessing a human desire to achieve goals and accept responsibility rather than (X) being passive and resistant to district needs.
3. The formal evaluation instruments used by superintendents to evaluate junior high school principals mentions factors that can be classified as (X) role items more frequently than (Y) items.
4. The superintendents participating in the interview perceive junior high school principals as having (Y) a part in the district decision-making process rather than (X) the district modifying the principal's behavior to its needs.
5. Superintendents participating in the interview perceive their own involvement in evaluating junior high school principals more frequently as democratic (Y) rather than autocratic (X).

Hypotheses 1, 2, 4, and 5 are related to the six area, fifty-two item questionnaire. Hypothesis three relates to the evaluation instruments utilized by participating districts.

Definition of Terms

McGregor Theory of Leadership

A viewpoint that purports there are two distinct dimensions of leadership, democratic and autocratic.

Theory X

The dimension of McGregor's theory concerning leadership that deals primarily with autocratic behavior and states that there are rigid lines of control and authority for the individual with little room for self-development.

Theory Y

The dimension of the McGregor theory that deals with democratic behavior and states that the individual can find self-development and personal growth while fostering institutional goals.

X Related Terms

Centralized Organization

The behavior of the principal is controlled directly by the superintendent, Theory X1.

Institutionally Controlled Action

The institution dominates the behavior and action of the principal, Theory X2.

Institutionally Set Goals

The principal permits the institution to set all of his job goals, Theory X3.

Institutionally Directed Efforts

The superintendent evaluates the principal's goals with little interaction between the principal and himself, Theory X4.

Y Related Terms

Decentralization Delegation

The principal has an opportunity to set goals and responsibility is delegated in the school system, Theory Y1.

Job Enlargement

The job of the principal is expanded in terms of his own ego satisfying needs. He is an active worker fulfilling personal and institutional goals, Theory Y2.

Participative and Consultative

The principal has the opportunity to assist in planning his own goals as well as participate in the goal setting of district concerns, Theory Y3.

Performance Appraisal

The principal is active in his own evaluation. He receives guidance and support in the evaluation process, Theory Y4.

Evaluation Instrument

A series of items used by a school superintendent to quantify and qualify the behavior of subordinates, particularly principal behavior.

Limitations of the Study

In order to establish a field of study that would be representative, the following limitations are noted:

1. The study reflects the perceptions of twenty-eight school superintendents.
2. The application of one theory of leadership model was implied in the analysis of the data.
3. The study deals with leadership behavior as reflected by the evaluation instruments in use by the superintendents at the time of the survey.
4. The study concerns itself with perceptions of superintendents within DuPage County, Illinois, as they pertain to junior high school principals only.
5. The study is based on the assumption that all participants would complete the questionnaire truthfully.
6. The study represents a limited, but appropriate analysis of the data.

Organization of the Study

Chapter II reviews the literature in four sections. The first two sections are concerned with school administration theories, from early to modern times. The third section deals with research of leadership theories in the field of management. The fourth section indicates the implications for present study.

Chapter III deals with the design of the study, the study group population, superintendent questionnaire with scoring procedure, and procedure for evaluation of district used instruments.

Chapter IV is concerned with the results of the study.

Chapter V includes summary, recommendations, and conclusions. In addition, suggestions for further study are given.

CHAPTER II

REVIEW OF RELATED RESEARCH

School Administration - Early Theories

Professional school administrative theory was non-existent for many years during the establishment of our American educational system. When communities and schools increased in size, there arose the necessity for financial support. This brought about the administrator's role devoted to the problems of organization and administration. The role developed into a professional position as it became necessary to coordinate all aspects of the school program.

Organization and administration of education varied from state to state as well as community to community. Refinements in formal and informal evaluation played a part in the elimination of some of the least desirable developments and resulted in the clarification of the chief administrative functions. These included: attention to organizational structure; identification of the purposes and objectives; establishment of a single executive; the definition of authority and responsibility; establishment of personnel policies; facilitation of a span of control; the fostering of planning and decision making; and determination of production and evaluation.¹

¹Edgar L. Morphet, Roe Johns, and Theodore Reller, Educational Organization and Administration Concepts, Practices and Issues (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1967), pp. 54-56.

A number of basic principles became apparent concerning school administration and evolved in the early years of school administration. They included: leadership should be confined to those holding status positions; good human relations was acceptance of decisions by followers; final responsibility for all matters was placed in the administrator at the top echelon; that unity of purpose was secured through loyalty to the status leader; maximum production was attained in a climate of competition and pressure; authority was the right and privilege of the person holding a status position; the individual in the organization was expendable; and the evaluation was the prerogative of status leaders.²

School Administration - Modern Theories

The latter assumptions led to emerging theories of administration which differed sharply from those traditionally held. These included: 1) Leadership should not be confined to those holding status positions; 2) Good human relations are essential to group production and to meeting individual needs; 3) Responsibility could be shared; 4) Unity of purpose is secured through consensus and group loyalty; 5) Maximum production is attained in a threat-fire climate; 6) The individual is not expendable; and 7) Evaluation is a group responsibility.³

Another contrasting phase of modern organization and administration was that of traditional authoritarianism versus emerging democratic theories. Democratic and undemocratic behavior was defined in the University of Florida study series. These included: Democratic Behavior: 1) Action is required that involves the group in decision-making with the respect to policy and

²Ibid., pp. 62-64.

³Ibid., pp. 64-67.

program; 2) Implementation must be in line with democratically-determined policy; 3) Action is required that promotes group or individual creativity, productivity, and satisfaction without harm to other groups or individuals; 4) Behavior or attitude respecting the dignity of individuals or groups must be displayed; 5) Action that indicates that the leader seeks to become an accepted member of the group is appropriate; and 6) Action that indicates that the leader seeks to keep channels of communication open is necessary. Undemocratic Behavior included: 1) Action that indicates that decision-making is centered in the status leader or his inner circle is displayed; 2) Implementation that ignores democratically determined policy is common practice; 3) Action that frustrates group or individual creativity, productivity and satisfaction occurs frequently; 4) Action that indicates that the principal obtains objectives by pressures that jeopardize a person's security is apparent; 5) Action that indicates that the leader considers himself above or apart from the group is obvious; and 6) Action that indicates that the leader discourages or blocks free communication is common behavior.⁴

George Strauss in his article called "Some Notes on Power Equalization" lists several basic assumptions. Seven of them are:

- 1) Human behavior in regard to work is motivated by a hierarchy of needs such as Maslow's;
- 2) Healthy individuals desire to mature to satisfy increasingly higher levels of needs;
- 3) The organization seeks to program individual behavior and reduce digression;
- 4) Subordinates react to these pressures most of which are harmful to the organization;
- 5) Management pressures often lead to excessive competition and splintering of work group;
- 6) Subtle management provides high wages, liberal benefits, decent supervision and not too much pleasure, yet workers are apathetic and settle for low level of aspiration; and
- 7) The healthy

⁴Carroll Ferrar, "The Refinement of an Instrument to Determine Certain Characteristics of the Working Pattern of School Principals" (doctoral dissertation, University of Florida, 1965), pp. 14-15.

solution is for management to adopt policies which promote intrinsic job satisfaction, individual development and creativity. Management should promote job enlargement, general supervision, strong cohesive work groups and decentralization.⁵

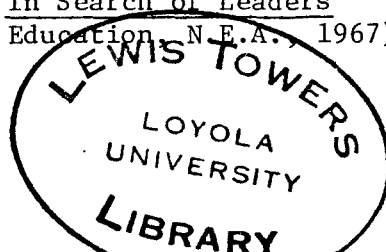
Jack R. Gibbs, in his article entitled "Dynamics of Leadership," gives a description of the authoritarian versus the non-authoritarian in a leadership role.⁶ The authoritarian position would say that people must be led and they perform best under leaders who are creative, imaginative and aggressive. It is then the responsibility of the leader to marshal the forces of the organization to stimulate the effort, to capture the imagination, to inspire people, to coordinate efforts and to serve as a model of sustained effort. The opposite would be true of the non-authoritarian view which says people grow and produce and learn best when they set their own goals, choose activities that they see as related to those goals and have a wide range of freedom of choice in all parts of their lives.

Leadership Management Theories

Prior to 1945, most of the studies of leadership were devoted mostly to the identification of traits or qualities of leaders. The studies were based in part on the assumption that human beings could be divided into groups--leaders and followers. Therefore, leaders possessed certain qualities or traits not possessed by followers. Some persons in each generation then, were believed to have been born leaders, not made.

⁵George Strauss, "Some Notes on Power Equalization," in The Social Science of Organizations, by Harold Leavitt (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), p. 45.

⁶Jack P. Gibbs, "Dynamics of Leadership," in In Search of Leaders (Washington, D. C.: American Association for Higher Education, N.E.A., 1967), p. 55.



A number of studies have been conducted on leader behavior and human relations resulting in new theoretical concepts of administration and organization. Research projects in industry and university research centers have also been conducted. The National Conference of Professors of Educational Administration formed in 1947, and the Cooperative Program of Educational Administrators, as established in 1950, resulted from a concern for more effective school administration.⁷ The purpose was to improve the theory and practice of educational administration. In 1954, the National Conference of Professors of Educational Administration approved the preparation of a book to assemble research findings of significance in educational administration.⁸

In 1948, Stogdill concluded as follows:

The average person who occupies the position of leadership exceeds the average member of his group in the following respects - intelligence, scholarship, dependability, activity and special participation and socio-economic status. The qualities, characteristics and skills required in a leader are determined to a large extent by the demands of the situation in which it is to function as a leader.

After further study, Stogdill concluded that:

A person does not become a leader by virtue of the possession of some combination of traits, but the pattern of personal characteristics of the leader must bear some relevant relationship to the characteristics, activities and goals of the followers. Thus, leadership must be conceived in terms of the interactions of variables which are in constant flux and change.⁹

Halpin stated that historically we have studied traits as characteristics of leaders versus non-leaders. But from the studies of the leader, he said, we

⁷Edgar L. Morphet, Roe Johns, and Theodore Reller, Educational Organization and Administration Concepts, Practices and Issues (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1967), p. 120.

⁸Ibid., pp. 120-21.

⁹Ralph M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Psychology 25 (1948):63.

can conclude reasonably that there are either no general leadership traits or, if they do exist, they are not to be described in any of our familiar or psychological terms. Also, in specific situations, leaders do have traits which set them apart from followers. But what traits set what leaders apart from what followers will vary from situation to situation. He quotes Hemphill as having shown this in a study of some five hundred groups.

According to Halpin, we increase our understanding of leadership phenomena if we abandon the notion that leadership is a trait and concentrate instead on the analysis of the behavior of leaders.¹⁰

Fredrick Herzberg introduced the motivation-hygiene theory in which factors having a positive effect on job satisfaction are those involved with the job itself.¹¹

He mentioned motivators as being achievement, recognition, challenging work, increased responsibility, growth and development. This research suggested that men have two completely independent sets of needs regarding job satisfaction and motivation.¹²

Hulin and Blood stated that a given factor can cause job satisfaction for one person and job dissatisfaction for another. Job occupational level, age, educational culture and group standing all come under this heading.¹³

¹⁰A. W. Halpin, "A Paradigm for Research on Administrative Behavior," in Administrative Behavior in Education, eds. R. F. Campbell and R. T. Gregs (New York: Harper & Rowe, 1967), pp. 155-199.

¹¹Fredrick Herzberg, Work and the Nature of Man (New York: World Publishing Co., 1966), p. 6.

¹²Ibid., p. 6.

¹³C. Hulin and M. Blood, "Job Enlargement, Individual Differences and Worker Responses," Psychological Bulletin 69 (1968):41-55.

Rensis Likert used the following portions of the Michigan studies that looked at productivity as related to supervisory styles.¹⁴ One portion of the research looked at individual leadership style as related to production and company policies and management methods. High production was related to an employee-oriented type of leadership and management system. Low production was related to task-oriented type of leadership and management system. The major factors affecting high and low productivity were classified in these areas: 1) An individual supervisory profile, 2) General management techniques, and 3) Group situations.

Rensis Likert did extensive research to discover the general pattern of management used by high producing managers in contrast to that used by other managers.¹⁵ He found that supervisors with the best records of performance focused their primary attention on the human aspects of their subordinates' problems and on endeavoring to build effective work groups with high performance goals. He also discovered that high producing supervisors made clearer to the subordinates that the objectives were and what needs were to be accomplished and then gave them the freedom to do the job. Thus, he found that general rather than close supervision tended to be associated with high productivity. The implication throughout his writing was that the ideal and most productive leader behavior for industry was employee centered, or a democratic approach.

The theory literature in administration has included a vast range of ideas from statements of simple relationships to complex propositions, each possessing several qualifications. The range of theory usage is also very

¹⁴Rensis Likert, New Patterns of Management (New York: McGraw-Hill Book Co., 1961), pp. 162-77.

¹⁵Ibid.

broad from the conceptually-oriented practitioners to the theoretician who seeks to create knowledge.

Robert Sweitzer in his article entitled "An Assessment of Two Radical Frameworks" compared Getzels'-Guba nomathetic--idiographic model with Stogdill's middle-range theory.¹⁶ In summary, he states that in the Getzels'-Guba model effectiveness is a result of the relationship between behavior and role expectations where there is high compatibility and high efficiency. Also, the administration is affiliated more with the institutional dimension or the policies, whereas the leadership is evaluated more with the individual dimension. Stogdill says more freedom brings indecision, confusion and malcoordination. High status members must provide necessary freedom and coordination. He goes on to state that elementary school principals do not exhibit leader behavior or considerate behavior so much as they show concern for group maintenance and exhibit initiating structure behavior.

Fred E. Fiedler explored leadership from a situational viewpoint. He devised methods of measuring and predicting leadership styles.¹⁷ He maintained that effective leadership styles needed to vary with the given situation. His leadership contingency model was developed to predict leader effectiveness by classifying leader-member relations, task structure, and position power. Leadership styles were plotted into either task-oriented or relation-oriented categories. These correspond to both Likert and McGregor's Theory X and Theory Y models, which suggest that there are only two basic leader behavior styles: task-oriented and relationship-oriented.

¹⁶Robert Sweitzer, "An Assessment of Two Radical Frameworks," in Organization and Human Behavior (New York: McGraw-Hill Book Co., 1969), p. 167.

¹⁷Fred E. Fiedler, Leader Attitude and Group Effectiveness (Urbana, Illinois: The University of Illinois Press, 1958), p. 12.

Another appropriate but different usage of administrative theory is its application by the empirical researcher. Implicitly, the practitioner is assumed to be utilizing theory at a different level than either the researcher or the theoretician. It can be assumed that the varied usages of theory are parallel and quite complimentary. Each requires different but complex skills. The working together of conceptual practice, theoretically based empirical research, and theory development depends on their inter-dependence.¹⁸

Theoreticians such as Van Miller in his article "The Practical Art of Using Theory" talked about the conceptual theory for the practitioner.¹⁹ He provided a relationship between the intuitive approaches to administrative problems and the more systematic approach. In his book, Administration in Decision Making, Dan Griffiths presented a theory that suggested a definition of administration which used decision-making as a focus for analysis.²⁰

The administrative process can be perceived as having two dimensions. One is impersonal relations, including purposes, structures, policies, regulations, schedules, programs, funds and facilities. The other dimension is personalistic - having to do with the satisfaction of human needs which are not necessarily related to organizational goals.²¹ Much of the content which has been written focuses on the impersonal dimension, but it does not follow that

¹⁸Fred D. Carver and Thomas J. Sergiovanni, Organizations and Human Behavior: Focus on Schools (New York: McGraw-Hill Book Co., Inc., 1969), p. 132.

¹⁹Van Miller, "The Practical Art of Using Theory," The School Executive 77 (1958):60-63, 77.

²⁰Daniel E. Griffiths, Administration in Decision Making (New York: Appleton-Century-Crofts, Inc., 1959), pp. 71-91.

²¹Fred D. Carver and Thomas J. Sergiovanni, Organization and Human Behavior: Focus on Schools (New York: McGraw-Hill Book Co., Inc., 1969), p. 283.

the importance of the human factor is insignificant. Administration is that combination of personal and impersonal elements which are inseparable even though much of the earlier emphasis in educational administration has been devoted to its various subpoints. This interaction-influence system includes those patterns of administrative behavior in dimensions of the administrative process which interact with the dynamics of organization and people as the school attempts to pursue its goals and influence its environment.²² Thus, the study of leadership has heavily relied on the identification and use of these two dimensions of leadership behavior. These themes are evidenced by the development of such concepts as task effectiveness, interaction effectiveness, goal achievement and group maintenance, concern for production, concern for people, production-centered and employee-centered, and recently, system-orientation and person-orientation.²³

Edgar H. Schein stated in his writings that the effective utilization of people in an organized human effort has always been a pressing problem. Each manager must figure out: 1) how to organize work and allocate it to workers; 2) how to recruit, train and effectively manage the people available to do the work; 3) how to create work conditions including reward and punishment systems which will enable the workers to maintain high effectiveness and sufficient morale to remain effective over long periods of time; 4) how to adjust the organization to changing environmental conditions and technological innovations; and 5) how to cope with competition or harassment from other organizations or groups within their own organization.²⁴

²²Ibid.

²³Ibid.

²⁴Edgar H. Schein, Organizational Psychology (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1970), p. 1.

Industrial psychologists found themselves working closely with engineers to analyze the basic characteristics of work in order to give each individual worker a job that maximized his human capabilities and limits, coordinated the team work among employees and provided for overall efficiency.

A basic idea stipulated by Schein was that underlying the concept of organization was the idea of coordination of effort and to serve as mutual help.²⁵ It became obvious that coordination among many diverse individuals or organizations was not possible without some means of controlling, guiding, limiting and managing the various units. So the very idea of coordination implied that each unit submitted to some kind of authority for the sake of achieving the common goal. The submission to authority did not imply that the authority did not have to be external. Coordination could be achieved by voluntary, self-disciplining activity by thus laying out a kind of blueprint of who is responsible for what. This blueprint was constructed by the highest authority on rational criteria, how best to divide jobs and coordinate them to achieve the overall goal. It became increasingly clear that organizational health and effectiveness depended ultimately on the organization's ability to diagnose its problems and develop its solutions. The agents of planned change became some of the key managers within the organization. These managers had to be able to take a system's view of organizations, diagnose the complexities of organizational problems, utilize outside resources where appropriate to aid in diagnosis and intervention, and educate others to do so within the organization. Similarly theories of organization were content to talk about profit maximization, providing for efficient service, higher productivity, and good employee morale as sufficient criteria for effectiveness. What undermined

²⁵Ibid., p. 9.

these viable criteria was the discovery that seemingly rational organizations behave ineffectively if the sole criterion is profit or providing a good service, and that organizations fulfilled multiple functions and had multiple goals, some of which were in conflict with each other.

Blake and Mouton argued for the integration of concern for production and concern for people.²⁶ Organization effectiveness according to Blake and Mouton was achieved when management succeeded in being both production and people-centered. To support this theory, they developed training programs which explicitly attempted to develop this managerial style.

Researchers have been concerned with developing means by which human needs could be harnessed to achieve organizational objectives. The Hawthorne study showed that workers have social as well as pure economic needs.²⁷

Other needs were considered and by 1960 the contributions of individuals such as Argyris, Maier, Maslow and McGregor jelled into a fairly consistent view of motivation in industry and what the consequences were.²⁸ This might be called personality versus organization hypothesis. It runs as follows:

- 1) Workers seek social belonging, independence, and personal growth. In other words, workers seek to climb the Maslow needs hierarchy ladder.
- 2) Organizations fail to recognize these needs and instead follow Theory X assumptions that workers dislike work and wish to avoid responsibility. In doing so, they force workers to behave in an immature and dependent fashion.
- 3) As a

²⁶ Robert R. Blake and James Mouton, The Managerial Grid (Houston, Texas: Gulf Publishing Co., 1964), p. 10.

²⁷ Peter F. Sorenson and Bernard H. Baum, Perspectives on Organizational Behavior (Champaign, Illinois: Stipes Publishing Company, 1973), p. 8.

²⁸ Ibid.

consequence, workers become alienated from the jobs. They fight back, or they withdraw and produce no more than a minimum amount of work. 4) The only consistent solution is for management to adopt a Theory Y assumption as to human nature. People can enjoy work, can exercise self-control, and are imaginative and creative. Thus, management can develop policies that promote intrinsic job satisfaction and individual development. Management should promote job enlargement, general supervision, strong cohesive work groups and decentralization.²⁹

This view is perhaps best expressed in Argyris' "Individual Actualization in Complex Organizations," which received considerable reinforcement, particularly in the early 60's. McGregor's Human Side of Enterprise and The Professional Manager both provided details as to the application of Theory Y. A considerable amount of empirical work has appeared generally consistent with this personality versus organization theory.³⁰

Kornhauser found the following relationship between job status and the mental health of Detroit workers - the lower one goes down the status ladder the poorer the adjustment of the workers.³¹

Similarly, the work of Lyman Porter suggested that those lower down on the hierarchy are less satisfied than those at higher levels, particularly in regard to egoistic and self-fulfillment needs.³²

²⁹Ibid.

³⁰Chris Argyris, "Individual Actualization in Complex Organizations," Mental Hygiene 44 (1960):226-37.

³¹Arthur Kornhauser, "Mental Health of Factory Workers: A Detroit Study," Human Organization 21 (Spring, 1962):43-46.

³²L. W. Porter and M. M. Henry, "Job Attitudes in Management: Perceptions of the Input of Certain Personality Traits as a Function of Job Level," Journal of Applied Psychology 48 (1964):31-36.

In 1964, Argyris recognized that many people seemed to adjust satisfactorily to the challengeless work environment.³³ Though such individuals might be psychologically immature, their expectations of job satisfaction were low and they suffered few overt pangs of aggression. They did routine tasks in an adequate manner, though their performance was not innovative and they were resistant to change.

Herzberg concluded that the job satisfaction and job dissatisfaction were not opposite points on a continuum but, in fact, two separate dimensions.³⁴ Extrinsic factors such as company policies, incompetent supervision, or unsatisfactory working conditions lead to dissatisfaction. Such dissatisfaction could be reduced by hygienic measures such as fringe benefits, human relations training for foremen, or better company policies. But these measures did not satisfy workers; it only made them apathetic. For true satisfaction to be obtained, intrinsic factors had to be provided such as achievement, accomplishment, recognition, responsibility, and challenging work. He concluded that it was a mistake to emphasize traditional extrinsic measures which serve only to make work environment more tolerable. But management should instead seek to enrich, not just enlarge the job so as to make it more interesting and important. His research suggested that there could be ground between harsh autocracy and fully participative management, a middle ground which he calls "Hygienic Management." Miles called it The Human Relations Model in contrast

³³Chris Argyris, Understanding Organizational Behavior (Homewood, Ill.: Dorsey Press, Inc., 1960), Chapter 5.

³⁴Fredrick Herzberg, "Motivation - Hygiene Theory," in Management of Organizational Behavior (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972), pp. 54-60.

to the Theory Y Human Resources Model.³⁵ Employee morale could be high and employees could do a steady, fair day's work without Theory Y motivation. Instead on many jobs, it was difficult or impossible to permit such ingenuity or self-direction without redesigning the technology and perhaps making it less efficient. Thus in 1960, we saw increasing questioning of some of the oversimplistic versions of the organization versus personality hypothesis.

Some of the research deals with personality and suggests that a substantial body of employees react negatively to opportunities for challenge and self-direction on the job. Harold Leavitt stated that it was chiefly people who had the high need for independence and weak authoritarian attitudes who were likely to respond positively to consultation by their superiors.³⁶

McClelland stressed what he called Need Achievement, and the desire to achieve as measured by the Thematic Apperception tests.³⁷ People high in need achievement reacted well to challenge. Those who were low on this dimension would be primarily concerned with playing it safe and avoiding failure. This latter group preferred direction to autonomy. This research generally suggested that workers' attitudes toward their job was influenced by a much larger number of variables than the simple view of Y Theory could imply. While McGregor undoubtedly was right that some workers seek self-actualization through work, for other workers the job was really a means of earning money for a rich social life.

³⁵Peter F. Sorenson and Bernard H. Baum, Perspective on Organizational Behavior (Champaign, Ill.: Stipes Publishing Co., 1973), p. 10.

³⁶Harold J. Leavitt, The Social Science of Organizations (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1963), pp. 45-59.

³⁷George Strauss, A Review of Industrial Relations Research (Madison, Wisconsin: Industrial Relations Research Association, 1970), pp. 202-05.

Robert Blauner's Alienation and Freedom started with Marx's definition of alienation and presented evidence showing that the kinds of alienation which capitalism and Theory X was supposed to induce seemed to be the most prevalent in assembly line work. Blauner's typology was concerned solely with various forms of manufacturing in industry.³⁸

Etzioni adopted a much broader typology which is based primarily on the means used by an organization to motivate its participants.³⁹ His main thesis was that in the typical case there is a close relationship between organizational goals, the nature of power, and the sanctions used to induce motivation in the forms of involvement of its members. Thus, power which relies on manipulation of esteem, prestige, and ritualistic symbols was appropriate chiefly where organization goals were value-oriented and its participants identified with the organization and internalized its goals. Similarly, in organizations producing economic goods, rewards were material and the involvement was calculated. A summary statement would be that the kind of involvement with work required to make Theory Y valid was easier to obtain when organizational goals were idealistic rather than materialistic. It was clear that no one form of motivation is universally appropriate for all personalities, cultures, and technologies.

This realization has led to attempts to develop field theories which take these and other factors into account--factors that explain the conditions under which Theory Y would be appropriate. Men such as Vroom, Lawler, and

³⁸Edgar H. Schein, Organizational Psychology, 2d ed. (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1970), p. 72.

³⁹A. Etzioni, "Organizational Control Structure," Handbook of Organizations (Chicago: Rand McNally & Co., 1965), pp. 650-77.

Porter suggest that people will work harder when they perceive that harder work is a path toward a goal they desire or that higher production will in turn lead to a reward which will satisfy a need important to them.⁴⁰

This chain may break down at any point. For example, there may be no perceived relationship between effort and production. Higher production may not be rewarded. Productivity may be difficult to measure, and the reward may not be of particular value to the employee or any one of these relationships may exist but not be perceived as existing.

This is consistent with both Taylor's scientific management and McGregor's Theory Y.⁴¹ One emphasizes piece work, the other self-direction. Yet in both cases, if the conditions are met, higher productivity will result. Before 1960, it was known that monetary or other Theory X incentives worked well only under relatively restricted conditions. Obviously, there are others, but essentially, similar constraints on Theory Y variables. If a sense of achievement is to operate as a successful motivator, 1) The conditions must include the employee having an active, high need achievement motive; 2) The task must be viewed as a meaningful challenge; and 3) The employee must have feedback as to whether or not he has completed the task.

Although management based on the assumptions of Theory X are perhaps no longer appropriate in the opinion of McGregor and others, it is still widely practiced, according to Chris Argyris, consequently the large majority of people in the United States are treated as immature human beings in their

⁴⁰V. H. Vroom and F. C. Mann, "Leader Authoritarianism and Employee Attitudes," Personnel Psychology 13 (1960):125-40.

⁴¹Peter F. Sorensen and Bernard H. Baum, Perspectives on Organizational Behavior, p. 13.

working environment.⁴² It is this fact that has produced many current organizational problems. Argyris examined industrial organizations to determine what effect management practice had on individual behavior and personal growth within the work environment. According to Argyris, seven changes must take place in the personality of the individual if he is to develop into a mature person over the years. First, the individual moves from a passive state as an infant, to a state of increasing activity as an adult. Second, an individual develops from a state of dependency upon others as an infant, to a state of relative independence as an adult. Third, an individual behaves in only a few ways as an infant, but as an adult, he is capable of behaving in many ways. Fourth, the individual has erratic, casual and shallow interests as an infant, but develops deeper and stronger interests as an adult. Fifth, the individual tends to develop from having a short time perspective to a much longer time perspective as an adult, one in which the behavior is more affected by the past and the future. Sixth, an individual tends to develop from being in a subordinate position in the family and society as an infant to aspiring to occupy an equal and/or superordinate position relative to his peers. Lastly, the individual tends to develop from lack of awareness of self as an infant to an awareness and control over self as an adult.⁴³

* Argyris, as well as McGregor, challenged management to provide a work climate in which everyone had a chance to grow and mature as an individual and as a member of the group by satisfying his own needs, while working for the success of the organization. Implicit was the belief that man could be

⁴²Chris Argyris, Personality and Organization (New York: Harper and Row, 1957), p. 64.

⁴³Ibid., p. 65.

basically self-directing and creative at work if properly motivated and management based on the assumption of Theory Y would be more profitable for the individual and organization.

Argyris found that over and over, broadening individual responsibility was beneficial to both the worker and the company. By giving people the opportunity to grow and mature on the job, it helped them satisfy more than just the physiological safety needs which in turn motivated and allowed them to use more of the potential accomplishing the organization goals. All workers did not want to accept more responsibility or deal with the added problems responsibility inevitably brought about. Argyris contended that the number of employees whose motivation could be improved by increasing and upgrading the responsibility was much larger than most managers suspected.⁴⁴

Fredrick Herzberg in his Motivation Hygiene Theory stated that as people matured their needs such as self-esteem and self-actualization seemed to become more important. In developing his theory, he sensed that scholars like McGregor and Argyris were touching on something important and that the knowledge about the nature of man, his motives, and needs could be invaluable to organizations and individuals.⁴⁵

After analyzing the data from his interviews, Herzberg concluded that man had two different categories of needs which were essentially independent of each other and affected their behavior in different ways. He found that, when people felt satisfied with their jobs, they were concerned about the environment in which they were working. On the other hand, when people felt

⁴⁴Ibid.

⁴⁵Fredrick Herzberg, Work and the Nature of Man (New York: World Publishing Co., 1966), p. 6.

good about their jobs, this had to do with the work itself. Herzberg called the first category of needs Hygiene Factors because they described man's environment and served the primary function of preventing job dissatisfaction. He called the second category Need Motivators since they seemed to be effective in motivating people to superior performance.⁴⁶

The work of Mayo, particularly his Rabble Hypothesis, parted the way for the Theory X, Theory Y by Douglas McGregor. McGregor's traditional organization included centralized decision-making, the superior-subordinate pyramid, and external control, based on the assumptions about human nature and human motivation.⁴⁷ These assumptions were similar to the view held and defined by Mayo. Theory X assumed that most people preferred to be directed and were not interested in assuming responsibility and wanted safety above all. Accompanying that philosophy was the belief that people were motivated by money, fringe benefits, and the threat of punishment. Thus, X managers attempted to structure, control, and closely supervise their employees, feeling that external control was clearly appropriate for dealing with unreliable, irresponsible, and immature people.⁴⁸

McGregor questioned whether this view of man was correct and whether management practices based upon it were appropriate in many situations.⁴⁹ If a man is living in a democratic society with its increasing level of education and standard of living, is he not capable of more mature behavior?

⁴⁶Ibid.

⁴⁷Paul Hersey and Kenneth A. Blanchard, Management of Organizational Behavior (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972), p. 46.

⁴⁸Ibid.

⁴⁹Ibid.

Drawing heavily on Maslow's Hierarchy of Needs, McGregor concluded that Theory X assumptions about the nature of man were generally inaccurate and management approaches that were developed from these assumptions failed to motivate individuals to work toward organization goals.⁵⁰ Management by direction and control would not succeed, according to McGregor, because it was a questionable method of motivating people whose physiological and safety needs were reasonably satisfied and whose social esteem and self-actualization needs were very predominant. McGregor thought that management needed practices based on the accurate understanding of the nature of man and human motivation.⁵¹

As a result of this, McGregor developed the alternate theory of human behavior called Theory Y. This theory assumed that people were not by nature lazy and unreliable. It also said that man could be basically self-directed and creative at work if properly motivated. Therefore, it was the essential task of management to unleash this potential in man. A properly motivated worker could achieve his own goals best by directing his own efforts toward accomplishing organization goals.

Managers who accepted the Theory Y image of human nature, did not usually control structure, or closely supervise the work environment for employees. Instead they attempted to help their employees to mature by exposing them to progressively less external control, while allowing them to assume more and more self-control. Employees were able to achieve the satisfaction of social esteem and self-actualization needs within this kind of environment which was often neglected to the extent that the job did not provide need

⁵⁰Ibid., p. 47.

⁵¹Paul Hersey and Kenneth A. Blanchard, Management of Organizational Behavior (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972), p. 47.

satisfaction at every level. The employee usually looked elsewhere for significant need-satisfaction. This explains some of the problems management was facing in the areas of turnover and absenteeism.

Management was interested in work and McGregor felt that it could be as natural and satisfying for people as play. Both work and play were physical and mental activities; consequently, there was no inherent difference between play and work.

In reality, particularly under the Theory X management, a distinct difference in need-satisfaction was discernable. Play was internally controlled by the individual when he decided what he wanted to do. Work was externally controlled by others when the worker had no control over his job. Thus management and his assumptions about the nature of man have filled in a difference between work and play--it seemed unnatural.

As a result, people were stifled at work and hence looked for excuses to spend more and more time away from the job in order to satisfy their esteem and self-actualization needs. Because of their conditioning to Theory X type of management, most employees considered work a necessary evil rather than a source of personal challenge and satisfaction. In organizations where cohesive core groups have developed and where goals were parallel to the organization goals, there was high productivity. People came to work gladly because work was inherently satisfying.

Application to Present Study

Andrew Halpin, using The Superintendent's Effectiveness as a Leader questionnaire in a study of school superintendents, found that the administrators interviewed have a tendency to view consideration and initiating

structure as either/or forms of leader behavior.⁵² Administrators acted as if they were forced to emphasize one form of behavior at the expense of the other. He stressed that this conflict between initiating structure and consideration should not exist. He pointed out that according to his findings, effective or desirable leader behavior was characterized by high scores in both areas. Conversely, ineffective or undesirable leader behavior was marked by low scores on both dimensions. From these observations, he concluded that the successful leader must contribute to both major group objectives--group achievement and group maintenance--or he must facilitate cooperative group action that is both effective and efficient. Thus, Halpin concluded that a high score in consideration and in initiating structure style was theoretically the ideal, or best leader behavior; while the low style of both dimensions was theoretically the worst.

Halpin investigated the leader behavior of school superintendents such as task effectiveness and interaction effectiveness, goal achievement and group maintenance, concern for production and concern for people, and system orientation and person orientation.⁵³ He found that individuals who exhibited desirable leader behavior achieved high scores in both initiating structure and consideration.

"Professional Persons in Public Organizations" was an article written by Ronald Corwin.⁵⁴ He stated that behind the professionalization is a drive

⁵² Andrew W. Halpin, "How Leaders Behave," in Theory and Research in Administration (New York: The MacMillan Co., 1968), p. 77.

⁵³ Ibid., p. 81.

⁵⁴ Ronald Corwin, "Professional Persons in Public Organizations," Educational Administration Quarterly 1 (1965):22.

for status, or the effort of a member of the vocation to gain more control over his work, not only more responsibility, but more authority. Despite the efforts of many occupations to professionalize, the characteristics of complex organization do not uniformly support professional behavior. There is evidence that inconsistencies between professional and employee principles are responsible for tension. Perhaps more than any other factor, the myth that a central office must stand responsible for every decision throughout the organization is now deterring administrators from considering alternative designs by which organizations could be adapted to accommodate the fact of professionalism. He also states that the prospect of growing conflict among professionals within school systems is likely to transform leadership functions of the school administrator. Many administrators lack a coherent philosophy for evaluating professional employees and for guiding their own conduct with respect to professional employee conflicts. The administrator's major contribution would be as an interpreter of the logical demands of the organization into operational terms, a special kind of middleman between the abstract organizational goals and the real world of professional behavior.

Warren L. Evenson in an article entitled "The Leadership Behavior in High School Principals - Perceptions and Expectations of Superintendents, Principals and Staff Members" concluded that after a study of the leadership of forty high school principals dealing with leader behavior, initiating structure, and consideration that the desired leadership in the case of high school principals was characterized by high initiating structure and high consideration.⁵⁵

⁵⁵ Warren L. Evenson, "The Leadership Behavior in High School Principals-Perceptions and Expectations of Superintendents, Principals and Staff Members," Illinois Council on Educational Administration 4 (Spring, Summer, 1969):3.

He considered it fortunate that the growing body of research supported the assumption that this desired leadership was also effective leadership.

McGregor's work provided the badly needed theory that attempted to translate the small group model of change, basically an inter-personal one, from the laboratory situation, distant in time and space from the sweaty day-to-day life of the real world intact to functioning organizations. The work of Likert, Haire, Clark, Blake and Mouton, Argyris, Leavitt, Shepard, Beckhard and many others owe in large part, their acceptance and development to McGregor's writings.⁵⁶ This study will be an attempt to demonstrate the appropriateness of a management theory to school administrative management behavior. The usefulness of the study to individual school districts will depend upon the desired district goals pertaining to leadership behavior.

The application of the McGregor theory of leadership to junior high school principal evaluation designs is not documented in the literature. All studies found have been applied in general terms to management, specifically in industry and business fields.

This chapter has considered a review of administrative theories as they relate to the McGregor X-Y Theory. Chapter Three will be a presentation of the instruments and the design of the study.

⁵⁶Peter F. Sorensen and Bernard H. Baum, Perspectives on Organizational Behavior (Champaign, Illinois: Stipes Publishing Co., 1973), p. 60.

CHAPTER III

THE DESIGN OF THE STUDY

In the preceding chapter, the literature and research which was examined and reviewed related to early and modern school administration theories, leadership-management theories as they related to McGregor's X-Y Theory, as well as criticism of McGregor's theory. This chapter of the investigation discusses and includes a description of the following: 1) the composition of the study group population, 2) the superintendent questionnaire, and 3) the district evaluation instrument item analysis procedure.

This study was conducted within DuPage County, Illinois, with superintendents of school districts which included junior high school principals. Involved were twenty-eight district superintendents, three of whom were employed in unit districts, and twenty-five of whom were employed in dual districts. Sixteen districts had junior high schools with grades seven and eight; eight districts with grades six through eight; two districts with grades five through eight; and two districts with grades four through eight. The number of junior high school principals in each district varied from one to four.

The concern and major emphasis of this study are to identify perceptions of superintendents related to different facets of McGregor's X-Y Theory and to compare those perceptions with an item analysis of the instrumentation presently in use in that district. To further enhance the identification effort, a brief view of the basic data on the superintendents was also compiled for inclusion in this study.

TABLE 1

GRADES INCLUDED IN SCHOOL DISTRICTS IN STUDY

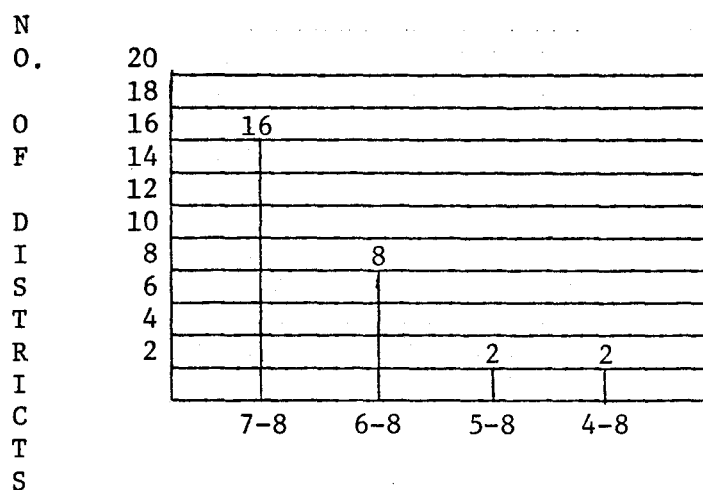
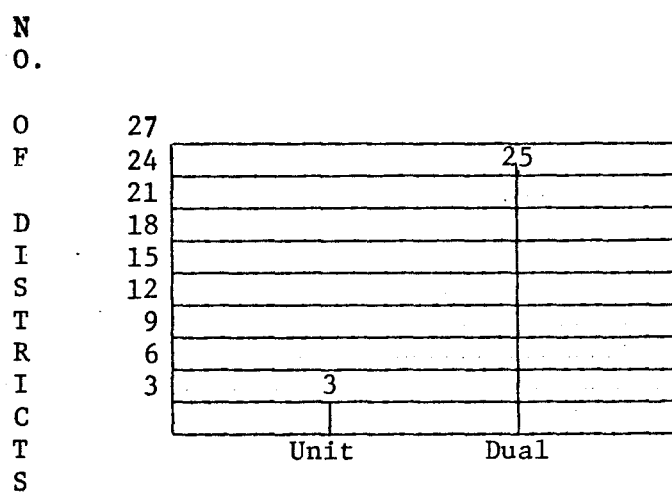


TABLE 2

DISTRICT TYPES INCLUDED IN STUDY



A Study Group Population

From a maximum number of twenty-eight superintendents in DuPage County, Illinois, evaluating junior high school principals, eighteen districts had a written evaluation instrument presently in use. Ten districts had an established procedure but no formal instrumentation. All twenty-eight superintendents completed the interview questionnaire. The 100 percent participation of superintendents insures a complete compilation of data on the proposed subject.

A questionnaire was used in this study to gather X-Y perceptions of superintendents regarding junior high school principals. (See Appendix A). In addition, a secondary portion of the questionnaire was formulated for use in an attempt to compile a fundamental, composite picture of the superintendents as to their age, training, administrative experience, and other related items.

The ages of the twenty-eight superintendents varied from a range of 35 to 44 years of age; to a range of 55 to 64 years of age; with fifteen superintendents being at the 45 to 54 years of age range. Of the twenty-eight superintendents, only one was a woman. (See Table 3).

Academic training experienced by the superintendents was also compiled in the summary. The data revealed that each of the superintendents had received a bachelor's and a master's degree. Furthermore, all of the superintendents had fifteen credits beyond the master's degree; with seventeen of the superintendents having received their doctor's degrees. This cumulative data indicated a very professionally trained, sampled population. (See Table 4).

Another area of the investigation was an attempt to gather data on the superintendents regarding their previous educational experiences; and in particular, their educational administrative experiences. The superintendent

TABLE 3

AGES OF SUPERINTENDENTS

N O. O F S U P E R I N T E N D E N T S	17				
	16				
	15			15	
	14				
	13				
	12				
	11		11		
	10				
	9				
	8				
	7				
	6				
	5				
	4				
	3				
	2				2
	1				
	0	0	0		
		Under 24	25- 34	35- 44	45- 54
					55- 64

TABLE 4

LEVELS OF EDUCATION OF SUPERINTENDENTS

N O. O F S U P E R I N T E N D E N T S	17					17
	16					
	15					
	14					
	13					
	12					
	11					
	10					
	9					
	8					
	7					
	6					
	5					
	4					
	3	3	3	3		
	2				2	
	1					
	0					
		MA +15	MA +30	MA +45	Adv. Cert.	Dr.

summary data was tabulated in the area of previous experiences resulting in the following overview: The superintendents were employed in their present district from three to twenty-three years, with an average of nine years of district employment. The superintendents also were employed from three to twenty-seven years in the superintendency which included their present district and all previous experience as a superintendent. This resulted in an average of 11.44 years total experience as a superintendent.

The superintendents also had evaluated the present junior high school principal in their respective district from one to eleven years; the evaluation average being 4.47 years. Twenty-five of the superintendents stated that they were the direct evaluator of the junior high school principal(s); three superintendents stated that an assistant superintendent was the direct evaluator of the junior high school principals in their particular district.

Another aspect studied was the matter of the formal instrumentation and its development within each of the districts. Four superintendents said they developed their instruments without principal input. No superintendent stated that the principals had developed the district evaluation instrument independent of the superintendent. Thirteen superintendents stated that it was a combination of the superintendent and principals that had developed the instrument presently in use. Four superintendents stated that they were using instruments developed by other districts and had incorporated them within their own district. (See Table 5).

Another aspect studied was the percentage of the principal evaluation instrument results as to the final total evaluation of the principals. Four superintendents stated that the instrument made up from 25 to 49 percent of the final evaluation for the year. Eight superintendents stated that the

TABLE 5

PROCEDURE USED IN DEVELOPING DISTRICT EVALUATION INSTRUMENTS

N				
O.	14			
	13		13	
O	12			
F	11			
	10			
R	9			
E	8			
S	7			
P	6			
O	5			
N	4	4		4
S	3			
E	2			
S	1			
	0		0	
		Supt. Only	Prin. Only	Supt. & Prin.
				Other

instrument made up from 50 to 66 percent of the final evaluation of the junior high school principal. Four superintendents stated that the instrument made up from 67 to 75 percent and four superintendents stated that the instrument made up from 76 to 99 percent of the final evaluation of a principal for the year. (See Table 6).

TABLE 6

PERCENTAGE OF FINAL EVALUATION ATTRIBUTED TO DISTRICT INSTRUMENT

N				
O.	8	8		
	7			
O	6			
F	5			
	4	4	4	4
S	3			
U	2			
P	1			
T	0			
S.		25-49%	50-66%	67-75%
				76-99%

Superintendent Questionnaire

The questionnaire used during the superintendent's interview was adapted from McGregor's The Human Side of Enterprise. Major concepts underlying McGregor's Theory X-Y were used in the questionnaire. They were stated in terms of Superintendent-Principal management relationships. They were listed as follows:

Y

Principals are perceived by the superintendent as being self-motivated and working toward the personal goals and the goals of the district.

Principals are perceived by the superintendent as having a desire to achieve goals and accept responsibility.

Principals are perceived by the superintendent as having a part in the decision making process of the district.

Principals are perceived by the superintendent as being evaluated in a democratic manner.

X

Principals are perceived by the superintendent as not being self-motivated.

Principals are perceived by the superintendent as being passive and resistant to district needs, and prefer to be led.

Principals are perceived by the superintendent as having their behavior modified to fit the needs of the district.

Principals are perceived by the superintendent as being evaluated in an autocratic manner.

In the questionnaire the formal question superintendents answered was:

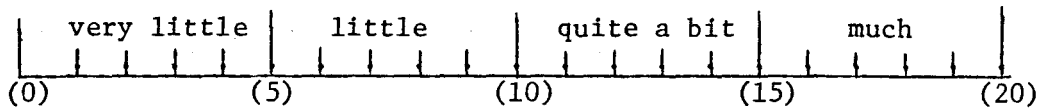
"In assessing the junior high school principal, to what extent to you view principals as"

This phrase was followed by the six major concepts, which were followed in turn by related subordinate questions which helped to define the major concepts.

Both major concepts and subconcepts were marked by the superintendent on a continuum ranging from 0-20, zero and twenty being the extremes.

Example: Question 10:

(10) In assessing the junior high school principal, to what extent do you view the principal as: being self-motivating---



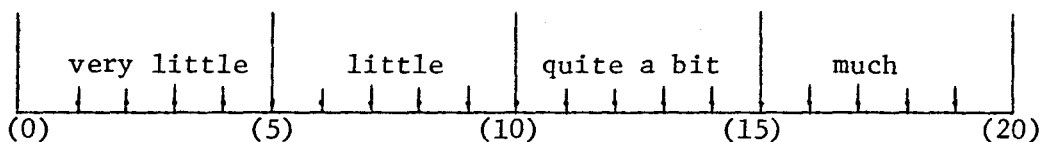
The responding superintendent then indicated the degree of his cognitive perception by the placement of his answer on the stated issue on a twenty point scale. Each segment on the scale contained a dimension of five possible selections. The superintendents were instructed to indicate on the scale by a check mark for each variable how they perceived junior high school principals on that particular item. Each item was to be treated as a continuous variable from the extreme at one end to that at the other.

McGregor's Y Theory would support an answer marked in the ten to twenty range - The motivation, the potential for development, the capacity for assuring responsibility, the readiness to direct behavior towards organizational goals are all present in people. McGregor's X Theory would support an answer marked in the one to nine range - The average man is by nature indolent - he works as little as possible, he lacks ambition, and dislikes responsibility.

If a respondent marked the principal as passive (X) he would not also be marked as self-motivating (Y). Profile sheets were prepared to facilitate scoring and planning of profiles. Tally worksheets were used to record directly the responses from the respondents' questionnaires. Results were split between two groups, namely, those superintendents selecting "X" management styles and those in that group which selected "Y" management styles. Hypotheses 1, 2, 4, and 5 were tested by the number of responses to the questionnaire.

The major assessments made by the superintendents were as follows: 1) Self-motivation; 2) passivity toward district goals and resistance to district needs; 3) working toward personal goals and district goals; 4) principal's behavior being modified to fit the needs of the district; 5) principals having a part in the decision making process of the district; 6) and the principals being evaluated in a democratic manner by the superintendent.

A third part of the questionnaire asked, "To what extent are the following areas of evaluation the most difficult to accomplish to your satisfaction?" Fourteen areas of the evaluation procedure were listed and a superintendent made a check in one of the following areas:



Areas covered included: philosophy concerning evaluation, guidelines for evaluation, orientation of principals to procedure used, the evaluation procedure presently being used, establishing job targets, monitoring principal's performance, conferencing with the principals to assess results, principal's self-assessment, meaningful follow-up activities for the principal, evaluation of unforeseen circumstances, record keeping, open communication with principals, principal/superintendent commitment to follow-up, and confused purposes as to evaluation. A fourth part of the questionnaire asked superintendents to rank the five leading behavioral characteristics in three areas that contributed to the success of junior high principals. The three areas were, 1) personal characteristics, 2) leadership characteristics, and 3) competency characteristics.

This instrument attempts to provide specificity which is important in relating superintendents' perceptions to the actual McGregor concepts as they, in turn, relate to the evaluation of junior high school principals. This instrument differs from other X-Y instruments in that it seeks to describe the principal's role (subordinate) as seen by superintendents (manager) in the area of evaluation as it is being accomplished by the superintendent.

The terms used were specifically for a narrow field of study, not with such generality that they could be used for research in other career and allied fields.

The instrument focuses upon the above-mentioned management concepts that are arranged in such a manner that the respondent is forced to rate them. In doing so, the respondent reveals both how he perceives the concept and how consistent he is in his valuations.

A concept can be rejected only by consistently assigning a low "X" rating to it. Related concepts appear more than once in several different areas. Because of the frequency of occurrence, an opportunity is provided to measure the consistency of the ratings assigned to each of the perceptions.

Administration of the Questionnaire

✓ Respondents are asked to use the management variables to indicate which X-Y characteristic describes principals who have specific management assignments, namely that of junior high school principal.

✓ Instructions are relatively simple and brief and the actual time to complete the instrument is no more than thirty minutes.

The instructions were stated to systematically obtain the respondent's view as to what is actually observed, not what is or should be ideal. It

should be noted again that the study concerns itself only with actual observations and not the ideal. As previously indicated in this study, the superintendents were asked to rate the principal within his district whom he actually evaluated.

Scoring the Instrument

The rank of each of the concepts is determined by totaling the ranks assigned by the composite of the superintendent's perception. The overall score for a given question is the sum of the superintendents' scores on each individual item.

A profile can be plotted by summing the respondents' answers on a pictogram which arranges the responses in rank order from the lowest numerical score (the least perceived characteristic) to the highest (the most perceived characteristic). As a result of analysis, clusters of characteristics were identified which relate to McGregor's major concepts. To further clarify the major categories, subconcepts were stated.

An examination of group responses in terms of major concepts scores reveals patterns of responses which may be descriptive in a number of ways in which superintendents perceive principals.

This instrument lends itself to the use of McGregor's terms as being representative for use in the managerial usage of educational population. This instrument may also be appropriate for use in describing other professionals who also work in educational settings, i.e., administrators, directors, and other professionals.

Categorization of Items Found in Present District
Instruments for Hypothesis Three

Theory X

(X1) Centralized Organization

Principal's behavior is modified to fit needs of the district. Superintendent directs the principal's efforts. There is active intervention by the superintendent.

(X2) Institutionally Controlled Action

Principal is deprived of opportunity for utilization of capabilities. Superintendent is indifferent to higher level psychological needs of principal. Principal is resistant to change. Principal is basically passive.

(X3) Institutionally Directed Efforts

Superintendent directs principal's efforts. Principal prefers to be led. Principal has little opportunity for releasing potential. Principal's capabilities not utilized by district.

(X4) Institutionally Set Goals

Superintendent evaluated principal. Superintendent controls actions of principal. Little guidance provided for principal. Principal does not have needs satisfied.

Theory Y

(Y1) Decentralized Delegation

The arrangement (organization of conditions and methods considers people, or people-oriented). Responsibility is delegated to principal. The principal directs his own activities and efforts. Principal has part in organizing the elements of productive enterprise.

(Y2) Job Enlargement

Responsibility is given at bottom of administrative ladder. Special and egoistic needs are satisfied (self-fulfilled). Principal has creative opportunities...innovation. Principal has growth encouraged. Principal is not passive or resistant. Principal has obstacles removed for growth.

(Y3) Participative and Consultative

Principal directs creative energies toward organizational objective. Principal has voice in decisions. Principal has opportunities for releasing potential. Principal is motivated (ready to direct behavior). Principal has capabilities that are utilized by the district.

(Y4) Performance Appraised

Principal has self-evaluation annually. Principal has self-direction control. Principal has guidance provided. Principal has his needs satisfied (self-fulfillment).

Each item was placed in the appropriate category X 1-4 or Y 1-4, or in a "Does Not Fit" category. A profile sheet was completed for each instrument with the X theory at the left and the Y theory on the right. The formal

evaluation instruments used by superintendents were tested with the percent of responses that fall in each major category. This procedure is based on J. P. Guilford's Fundamental Statistics in Psychology and Education, as follows:

- a rate index of comparison or index or rate of elimination is sought;
- there are not equal numbers of sample categories;
- there are over twenty items (less than five percent change per answer added to groupings);
- it shows larger differences and allows rank order;
- one can compare groups of items on an equitable basis.¹

Profile sheets were prepared to facilitate scoring and plotting of results from the classification application.

Summary

In summarizing the demographic data compiled on the superintendents in DuPage, County, Illinois, several pertinent facts are noteworthy. First, the superintendents had attained a very high level of formal education. All twenty-eight participating superintendents had attained master's degrees; seventeen of the superintendents had earned doctor degrees. Second, the demographic data revealed that the respondents had experience in the superintendency an average of 11.44 years with a range of 3 years to 27 years. Third, only one superintendent was a woman. Fourth, the ages of respondents varied from 35 years to 64 years, but the greatest number was in the 45 to 54 range.

The review of the X-Y perception instrument as used by the superintendents, revealed that the device has an organizational pattern which can measure

¹J. P. Guilford, Fundamental Statistics in Psychology and Education (New York: McGraw-Hill Book Co., 1968), pp. 16-17.

certain managerial characteristics. The sequential review of the format in this chapter allows for meaningful interpretation and analysis of the data in the next chapter.

CHAPTER IV

ANALYSIS OF THE DATA

The specific concern of this study is to investigate four main propositions: first, to determine selected items on formal DuPage junior high school principals' evaluation instruments as the items relate to the McGregor theory of leadership; second, to determine perceptions of selected DuPage County, Illinois superintendents concerning junior high school principals' leadership behavior as it relates to McGregor's theory of leadership; third, to determine impediments in the process of evaluating junior high school principals; and fourth, to identify those leadership characteristics that are important to junior high principals' success.

Through the utilization of the superintendent's perception questionnaire, twenty-eight superintendents attempted to identify the leadership behavior of junior high principals in terms of McGregor's theory of leadership.

This chapter will review the compiled data of the sampled group for each of the six hypotheses. The review of the data will attempt to identify those characteristics of junior high principals.

Appropriate tables with reference as to the various hypotheses, will be utilized throughout this phase of the study--the median scores of each question will be reviewed for analysis.

The questionnaire utilized in the study has three categories. Questions one through five are biographical and attempt to describe the top educational officer in the school district. The biographical material generated by these

questions establishes the following characteristics of the superintendents in the sample as described in Chapter Three. In brief they are:

1. The superintendents are thirty-five years or older, with the highest age being forty-five to fifty-four years of age. The fact that not one of the superintendents is less than thirty-five years old assures a considerable amount of experience in education, and perhaps an unwritten board criterion that experience in education is essential in the selection of superintendents.

2. The fact that seventeen of the superintendents had doctorates in educational administration implies that professional training is an important criterion for the superintendency. All the superintendents in the sample had completed fifteen hours above the master's degree.

The reliance placed on experience and training are not unusual in selecting superintendents. Most school boards are diligent in their search for a superintendent and they tend to rate experience and educational training high in their criteria of selection.

Questions six through nine attempt to describe the process of evaluation in the districts, the superintendent's role in the evaluation process, and what reliance is placed on the district's evaluation instrument for junior high principals. From this battery of questions we can make the following statements:

1. Instruments for evaluating junior high school principals were developed in most instances cooperatively between superintendents, school boards and principals. Thirteen districts indicated this cooperative effort to develop an instrument of evaluation. In four instances, the superintendent was the sole person who developed the evaluation instrument.

2. It is interesting to note that in no instance was the evaluation instrument developed by the principals. It is reasonable to assume that in the

development of evaluation instruments the superintendent plays a major role with principals playing a supportive role. How significant the supportive role of principals is may well depend on the democratic character of the superintendent and the democratic environment within the district.

3. The evaluation instrument in most cases plays a significant role in the final evaluation. In sixteen of twenty instances the instrument is described as having a fifty percent or above factor of importance in the final evaluation.

4. Superintendents rely on more demonstrable on-the-job parameters in evaluating principals than intangible parameters. Such parameters as performance, praise, supportive evidence, criticism, targets, observation, self-evaluation, and personality were relied on much more than study groups, university courses, committee work, informal study, professional memberships and inservice. It is interesting to note that the parameters low in reliability are those in which an individual is a part of a group and the individual cannot be isolated from the group for individual evaluation as is the case in the high reliability parameters.

The third category of the questionnaire attempts to elicit responses from the superintendents on the major points of McGregor's theory. This is the major thrust of the investigation and each question in this category will be given a separate analysis. The purpose, the responses and the implications of each question will be discussed at length to arrive at support or rejection of the hypotheses.

A major tenet of McGregor's theory is that a person should be self-motivated to be effective in his job. His social and egoistic needs should also be satisfied. Identification with superiors as co-workers must be present to provide a degree of freedom, self-development, growth, and creativeness.

Hypothesis One

The superintendents participating in the study perceive junior high school principals as (Y) self-motivating leaders who work toward goals when they are congruent with the district goals.

A self-motivated worker achieves personal needs as well as institutional goals. The determinant of self-motivation is the worker's perception of his relationship between himself and his superiors. To the extent that this relationship is one of sharing with his superiors, so likewise is the extent to which his needs are satisfied. The origin of motivation must be internal for the worker and a climate of cooperativeness between superior and subordinate is essential for satisfying individual needs. External prods imposed on a worker have limited results in achievement. External directives deny the worker the opportunity to identify with the goals and the opportunity to become personally involved. This lack of identity and involvement produces a worker who envisions little opportunity for him to be fulfilled and thereby there is little need to be self-motivated. His personal needs are met and fulfilled outside of his sphere of work, and his work is merely a means to acquire monetary rewards to engage in activities outside his work world that will meet his personal needs.

Question 10 and its supporting questions ask the superintendent to rate junior high school principals on a twenty point scale in the area of self motivation. A rating of ten or more implies that the superintendent perceives the junior high school principal as fulfilling his personal needs.

TABLE 7

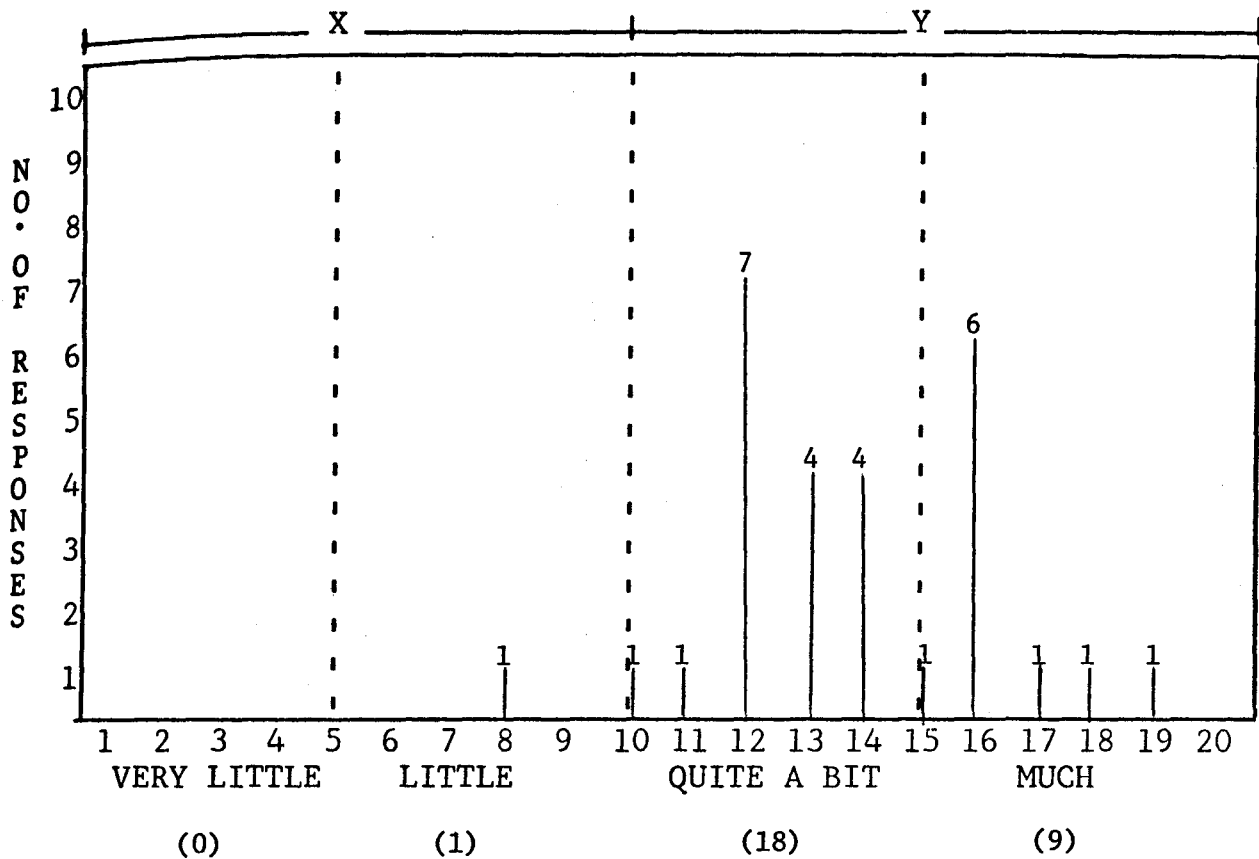
SUMMARY OF QUESTION 10 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
10. Being self-motivating				
a. having his social and egoistic needs satisfied (self-fulfillment)				
b. identifying with the superintendent as a co-worker				
c. experiencing a high degree of freedom				
d. enjoying his work				
e. having a significant degree of self- development				
f. having creative oppor- tunities provided and growth encouraged				
g. having growth stimulated, levels of competency raised				

TABLE 8

SUMMARY OF RESPONSES TO QUESTION 10



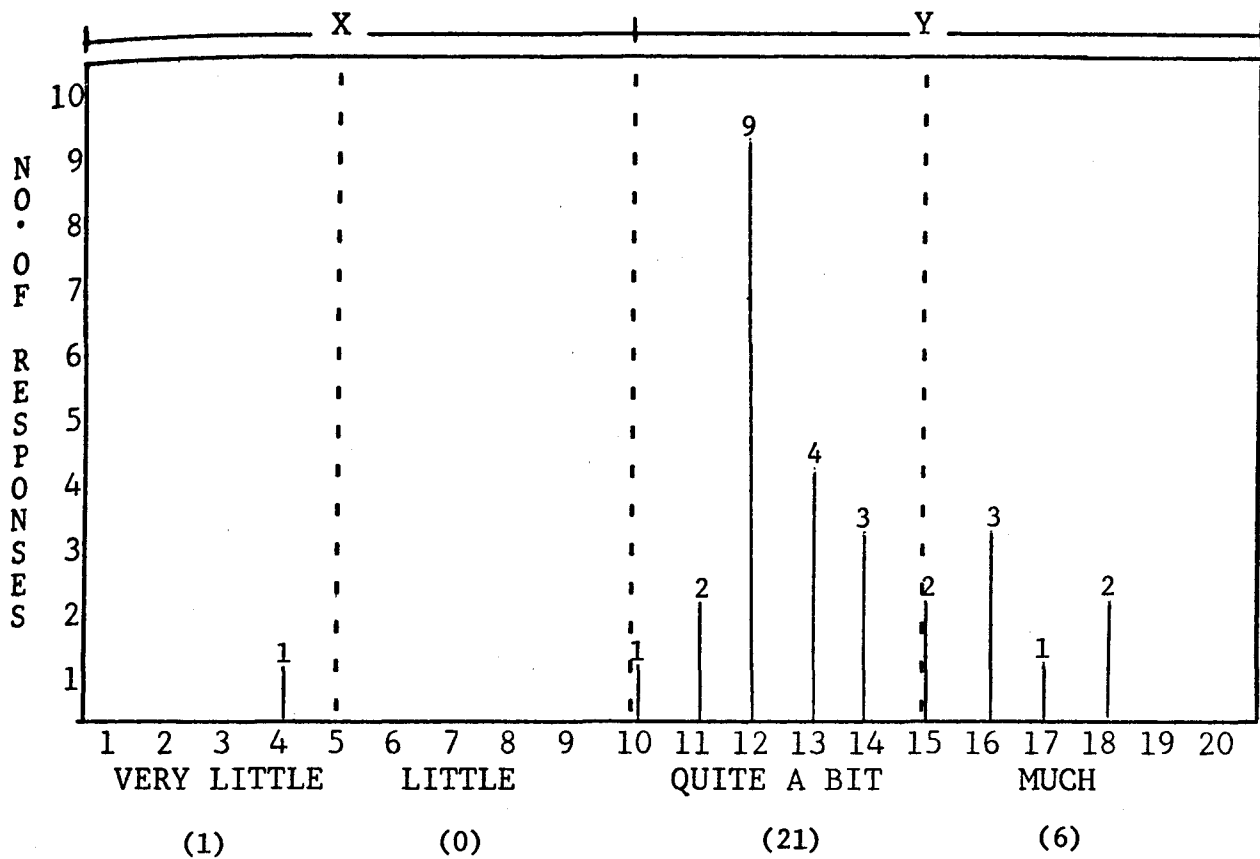
1 27

Question No. 10: In assessing the junior high principal, to what extent do you view principals as: Being Self-Motivating.

The response range on a 0 - 20 scale was 8 - 19. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 14.00.

TABLE 9

SUMMARY OF RESPONSES TO QUESTION 10A



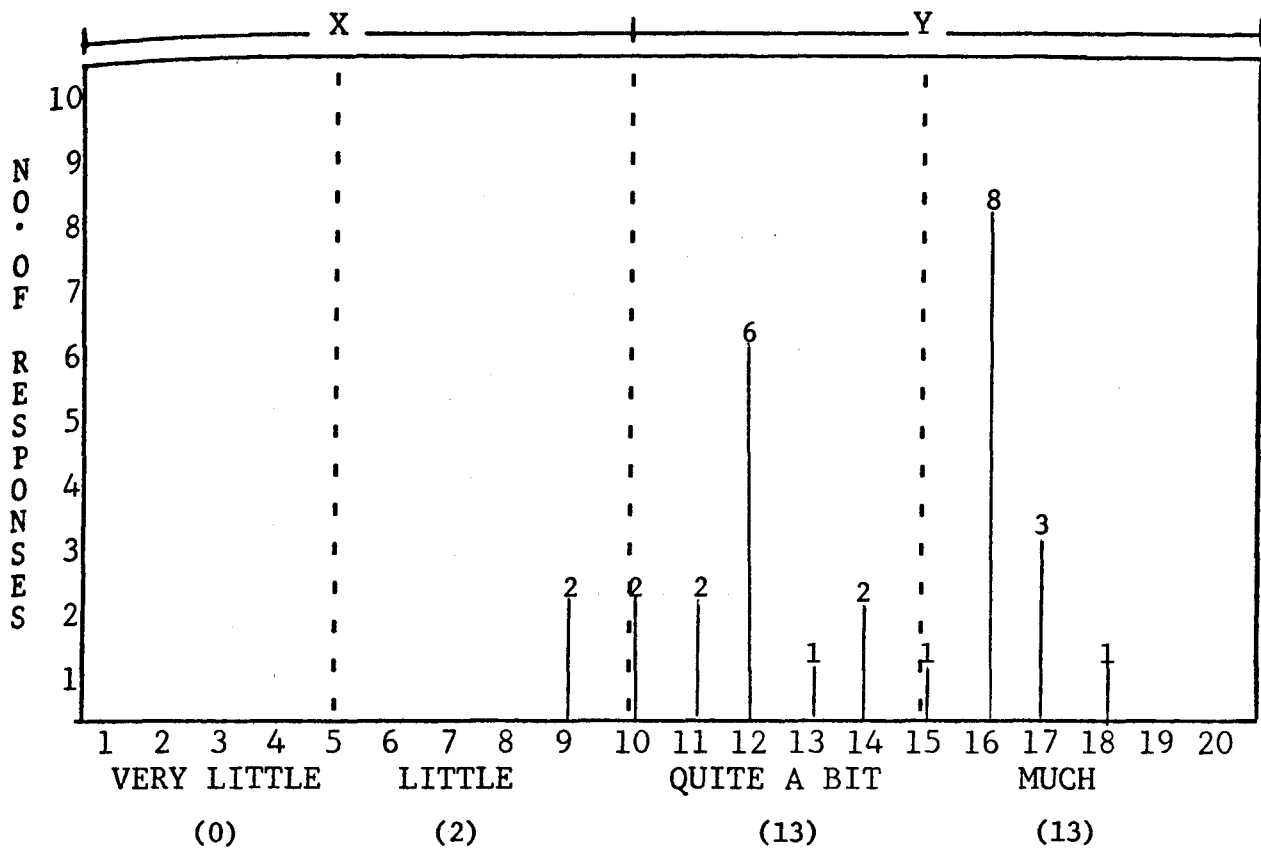
1 26

Question No. 10A: In assessing the junior high principal, to what extent do you view principals as: Having his (her) social and egoistic needs satisfied. (self-fulfillment).

The response range on a 0 - 20 scale was 4 - 18. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 13.25.

TABLE 10

SUMMARY OF RESPONSES TO QUESTION 10B.



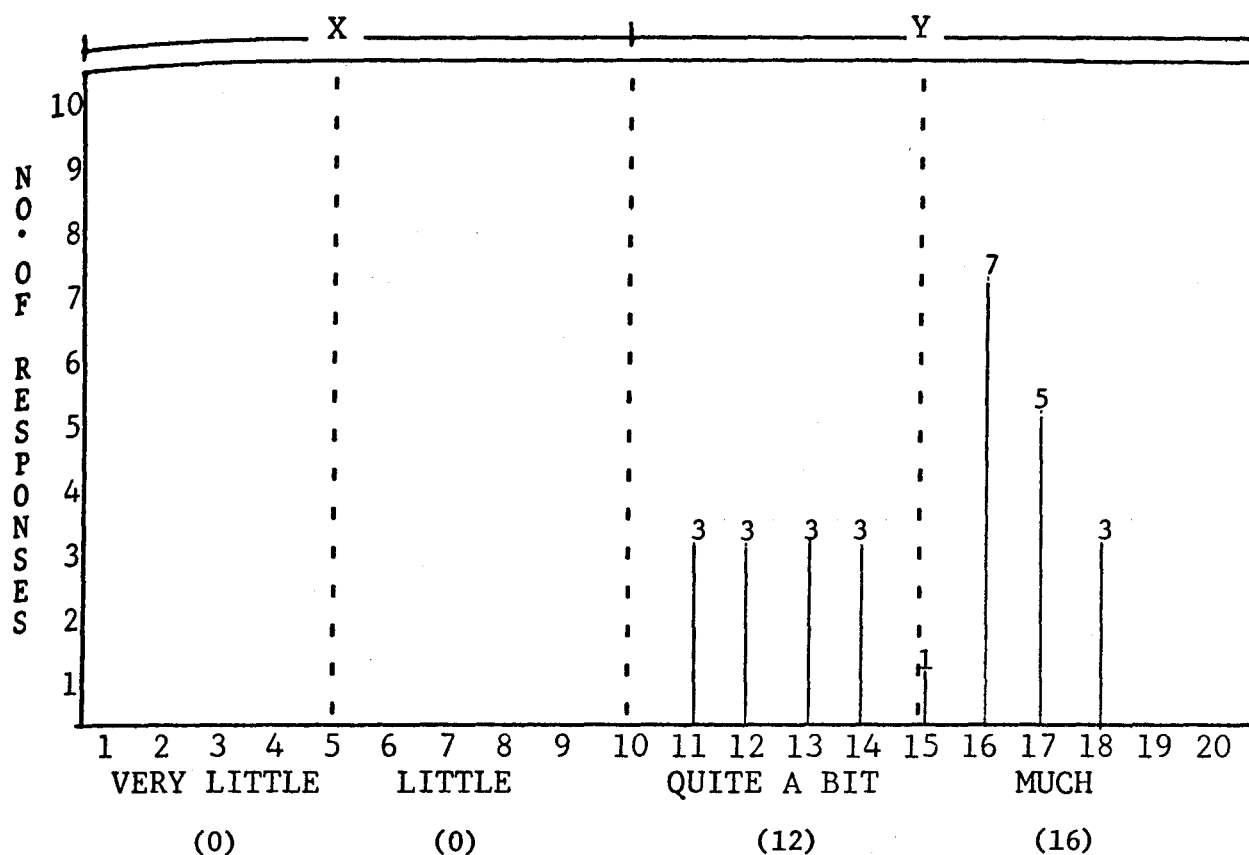
2 26

Question No. 10B: In assessing the junior high principal, to what extent do you view principals as: Identifying with the Superintendent as a Co-worker.

The response range on a 0 - 20 scale was 9 - 18. If we consider a response of ten or above as positive, there were two negative responses. The median rating was 14.50.

TABLE 11

SUMMARY OF RESPONSES TO QUESTION 10C



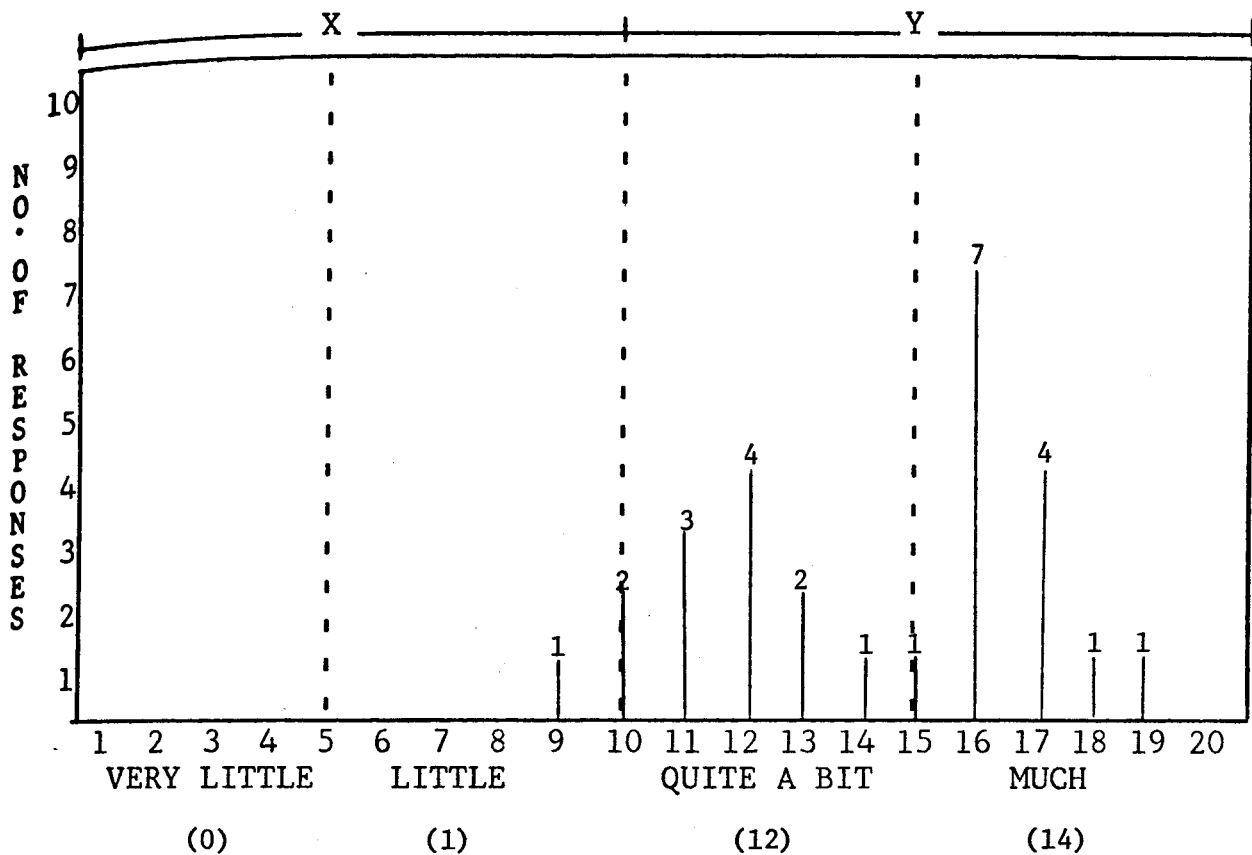
0 28

Question No. 10C: In assessing the junior high principal, to what extent do you view principals as: Experiencing a High Degree of Freedom.

The response range on a 0 - 20 scale was 11 - 18. If we consider a response of ten or above as positive, then none of the responses was negative. The median rating was 16.14.

TABLE 12

SUMMARY OF RESPONSES TO QUESTION 10D



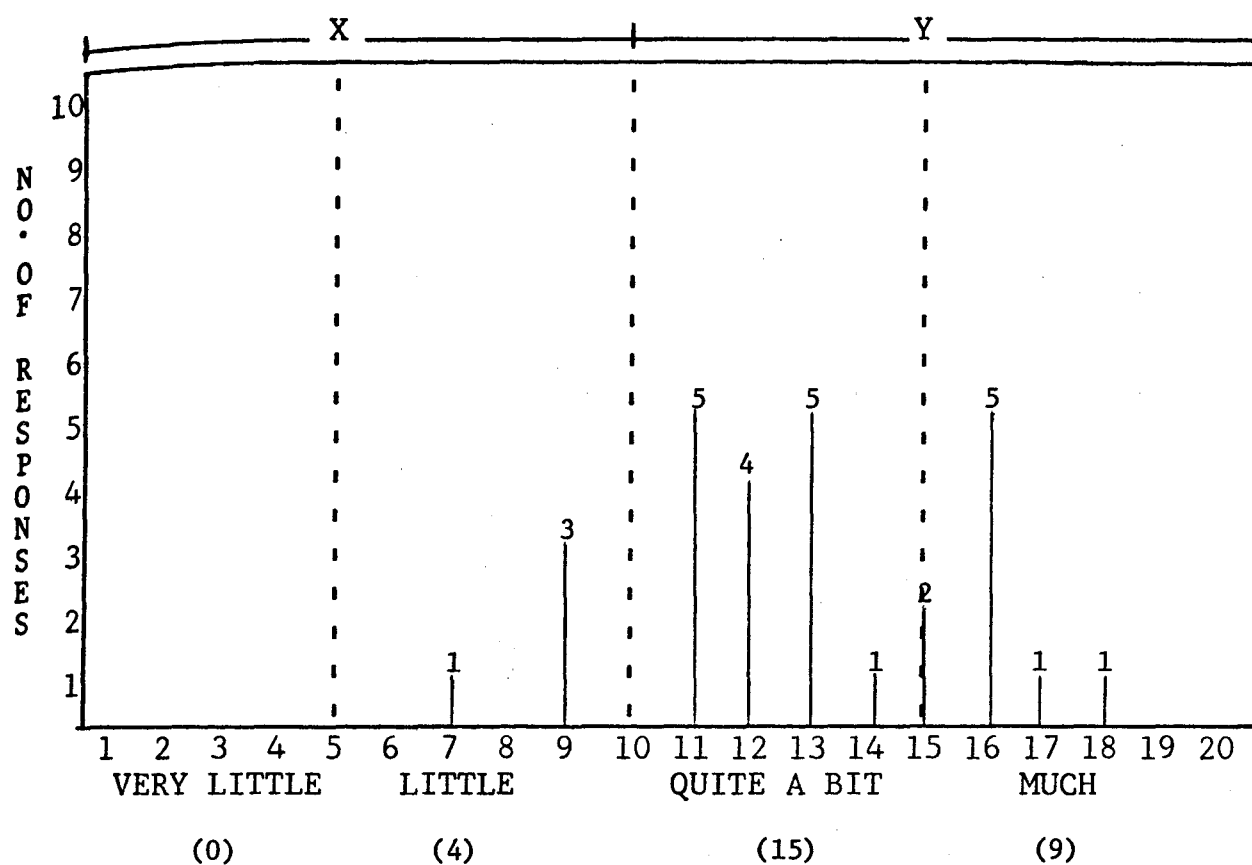
1 26

Question No. 10D: In assessing the junior high principal, to what extent do you view principals as: Enjoying his work.

The response range on a 0 - 20 scale was 9 - 19. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 14.00.

TABLE 13

SUMMARY OF RESPONSES TO QUESTION 10E



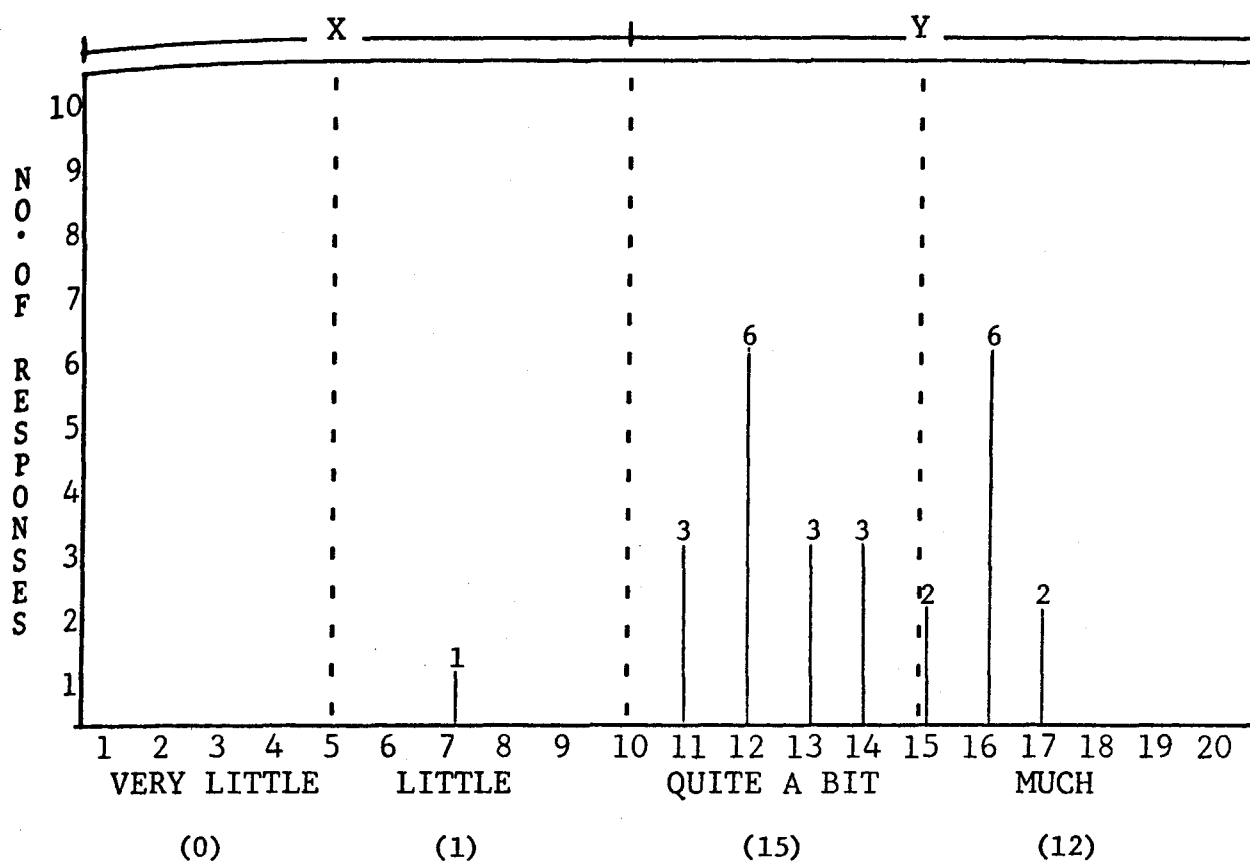
4 24

Question No. 10E: In assessing the junior high principal, to what extent do you view principals as: Having a Significant Degree of Self-Development.

The response range on a 0 - 20 scale was 7 - 18. If we consider a response of ten or above as positive, then only four of the responses was negative. The median rating was 13.20.

TABLE 14

SUMMARY OF RESPONSES TO QUESTION 10F



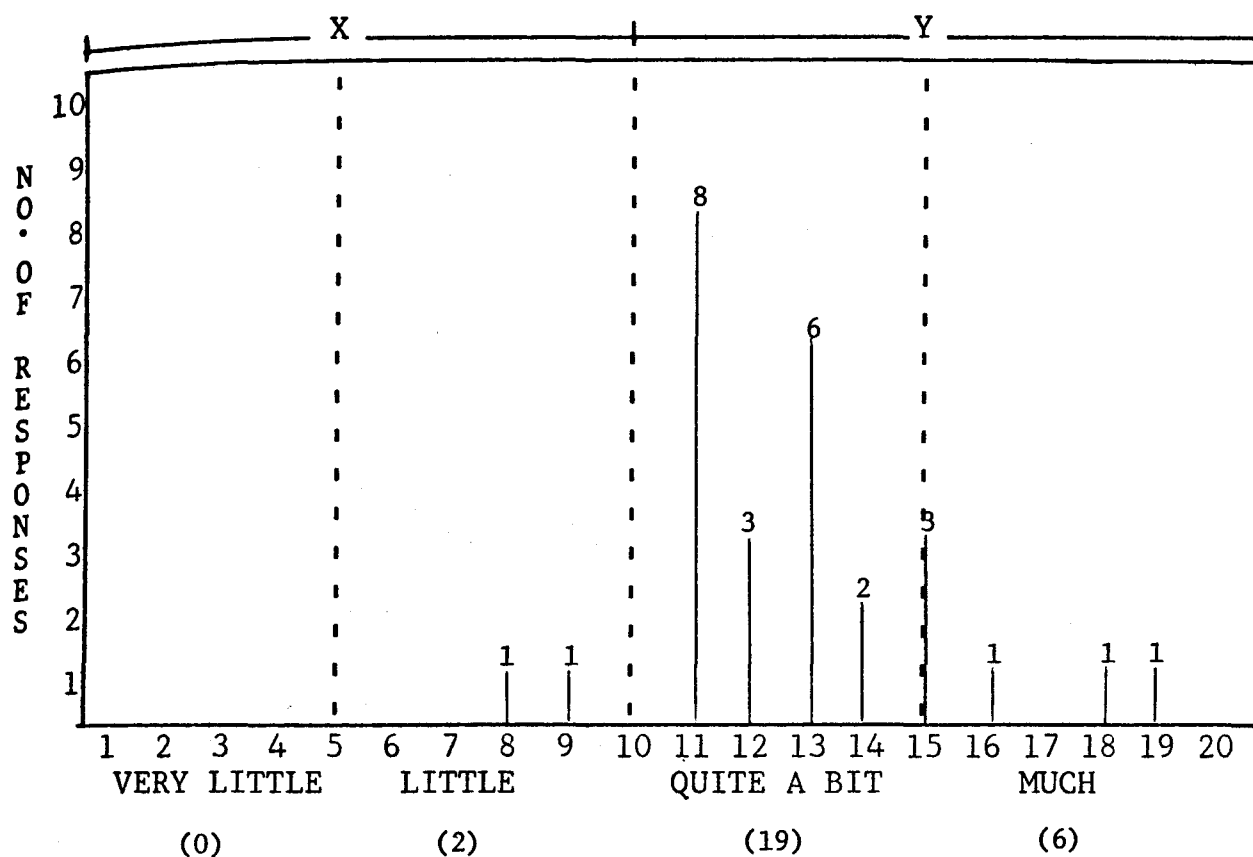
1 27

Question No. 10F: In assessing the junior high principal, to what extent do you view principals as: Having Creative Opportunities Provided and Growth Encouraged.

The response range on a 0 - 20 scale was 7 - 17. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 14.33.

TABLE 15

SUMMARY OF RESPONSES TO QUESTION 10G



2 25

Question No. 10G: In assessing the junior high principal, to what extent do you view principals as: Having Growth Stimulated Levels of Competency Raised.

The response range on a 0 - 20 scale was 8 - 19. If we consider a response of ten or above as positive, then only two of the responses was negative. The median rating was 13.08.

Question 12 and its supporting questions asks the superintendent to rate junior high principals on a twenty point scale in the area of the principal working toward personal and district goals. A rating of ten or more implies that the principal's personal goals are not in conflict with district goals and that simultaneous achievement toward personal and district goals is occurring. More specifically, the superintendents perceive their principals as having congruence between personal and district goals.

TABLE 16

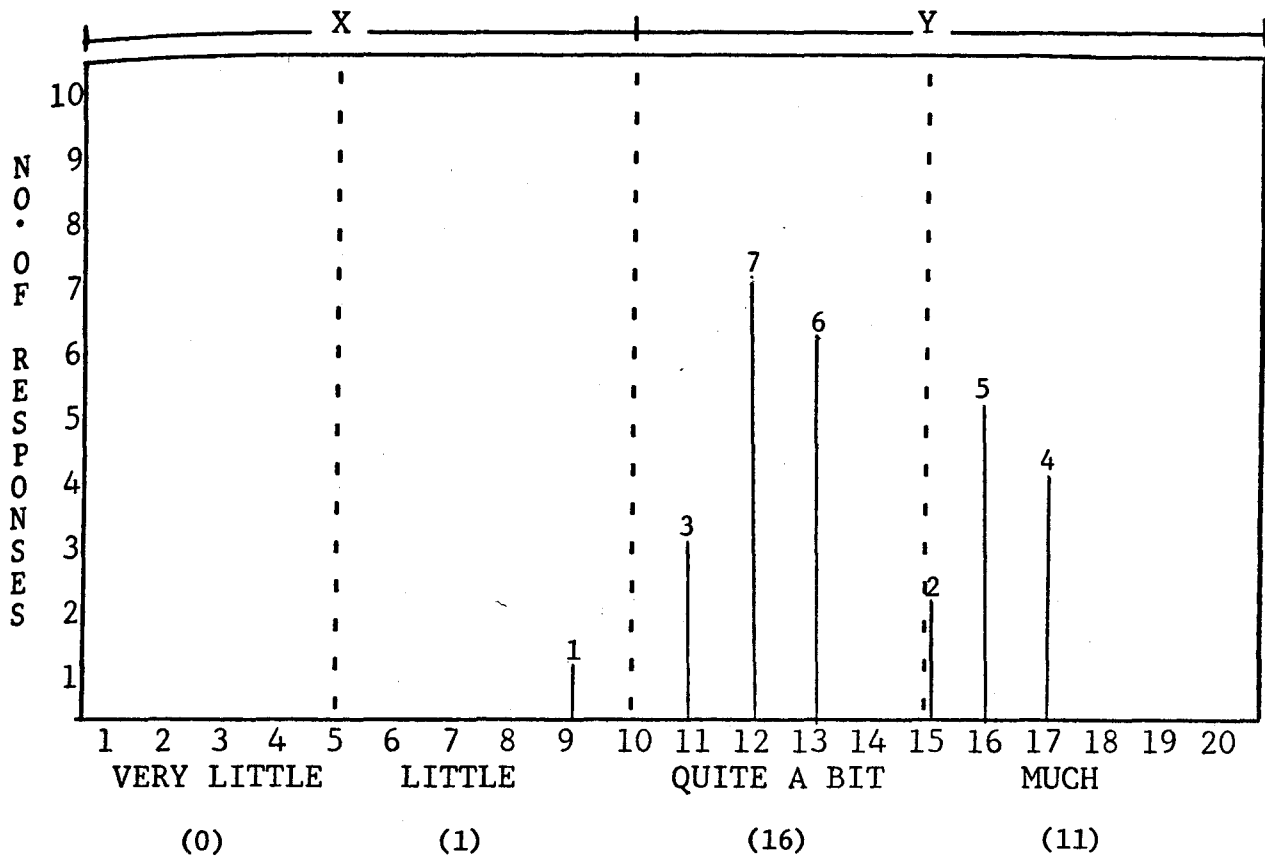
SUMMARY OF QUESTION 12 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
12. Working toward his personal goals and the district's goals				
a. having responsibility given at bottom of administrative ladder (being involved in decisions when possible)				
b. having creative opportunities for innovation				
c. having obstacles removed; growth encouraged and responsibility assumed				
d. directing his creative energies toward district objectives				
e. having a voice in decisions, being motivated; ready to direct his own behavior				
f. having self-direction; control of his sphere of authority				
g. having capabilities that are being utilized by the district				

TABLE 17

SUMMARY OF RESPONSES TO QUESTION 12



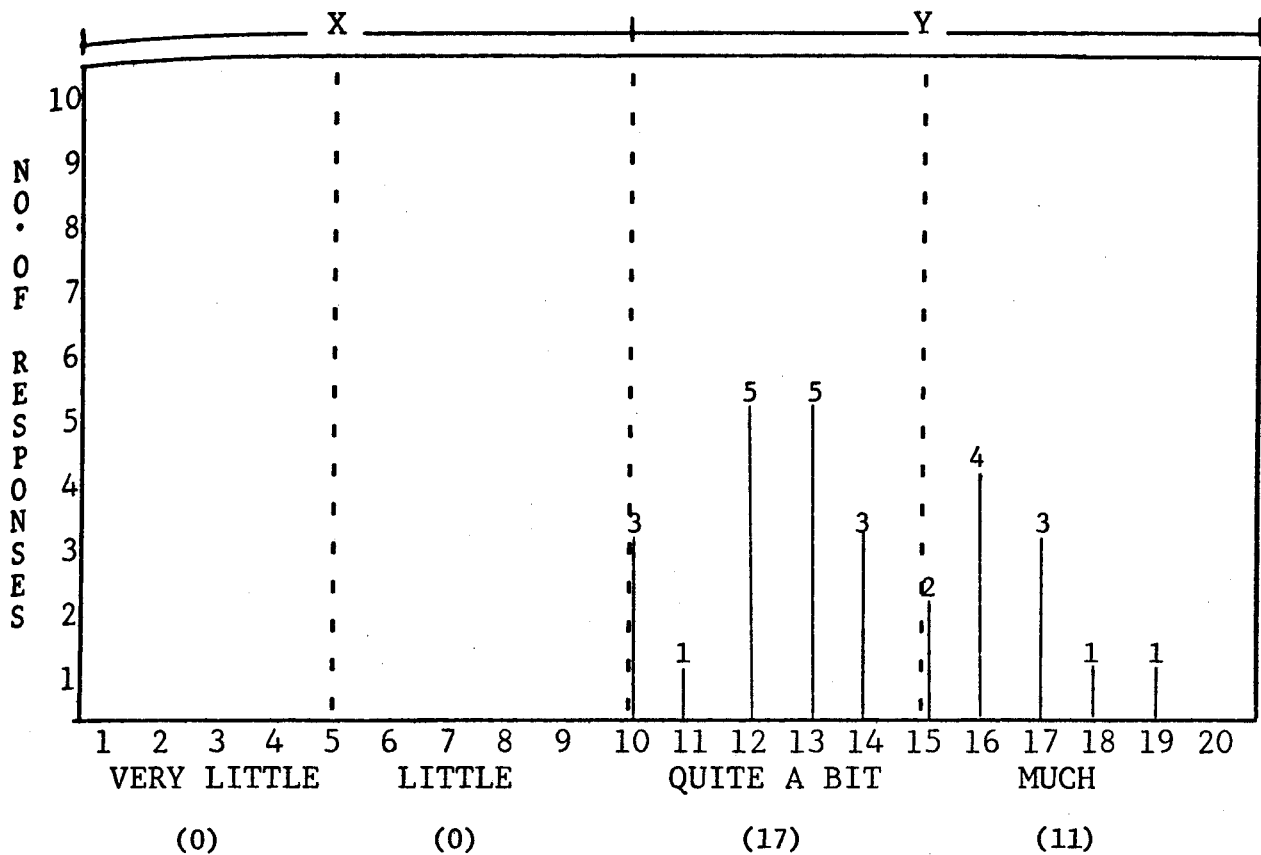
1 27

Question No. 12: In assessing the junior high principal, to what extent do you view principals as: Working Toward his Personal Goals and the District's Goals.

The response range on a 0 - 20 scale was 9 - 17. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 13.5.

TABLE 18

SUMMARY OF RESPONSES TO QUESTION 12A

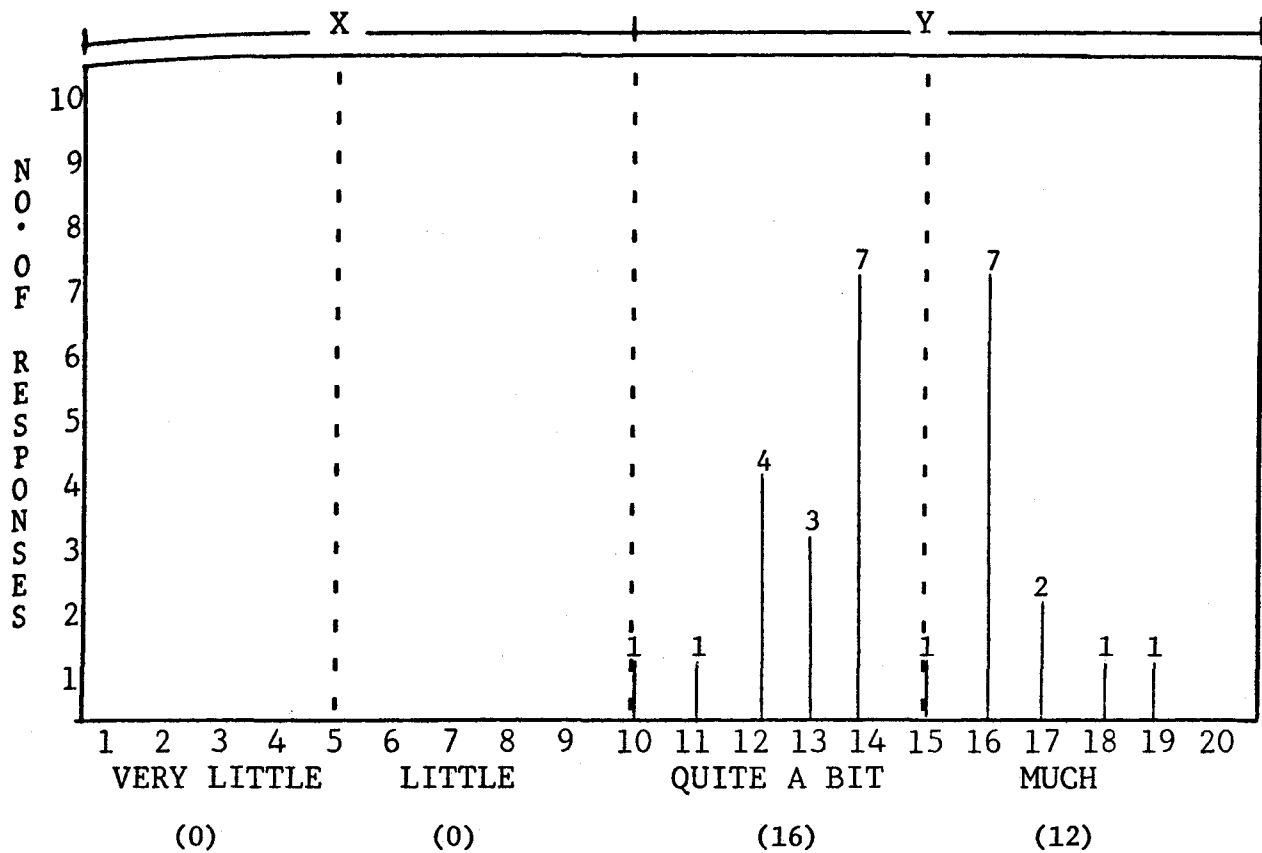


Question No. 12A: In assessing the junior high principal, to what extent do you view principals as: Having Responsibility Given at the Bottom of the Administrative Ladder. (Being involved in decisions when possible.)

The response range on a 0 - 20 scale was 10 - 19. If we consider a response of ten or above as positive, then none of the responses was negative. The median rating was 14.0.

TABLE 19

SUMMARY OF RESPONSES TO QUESTION 12B.



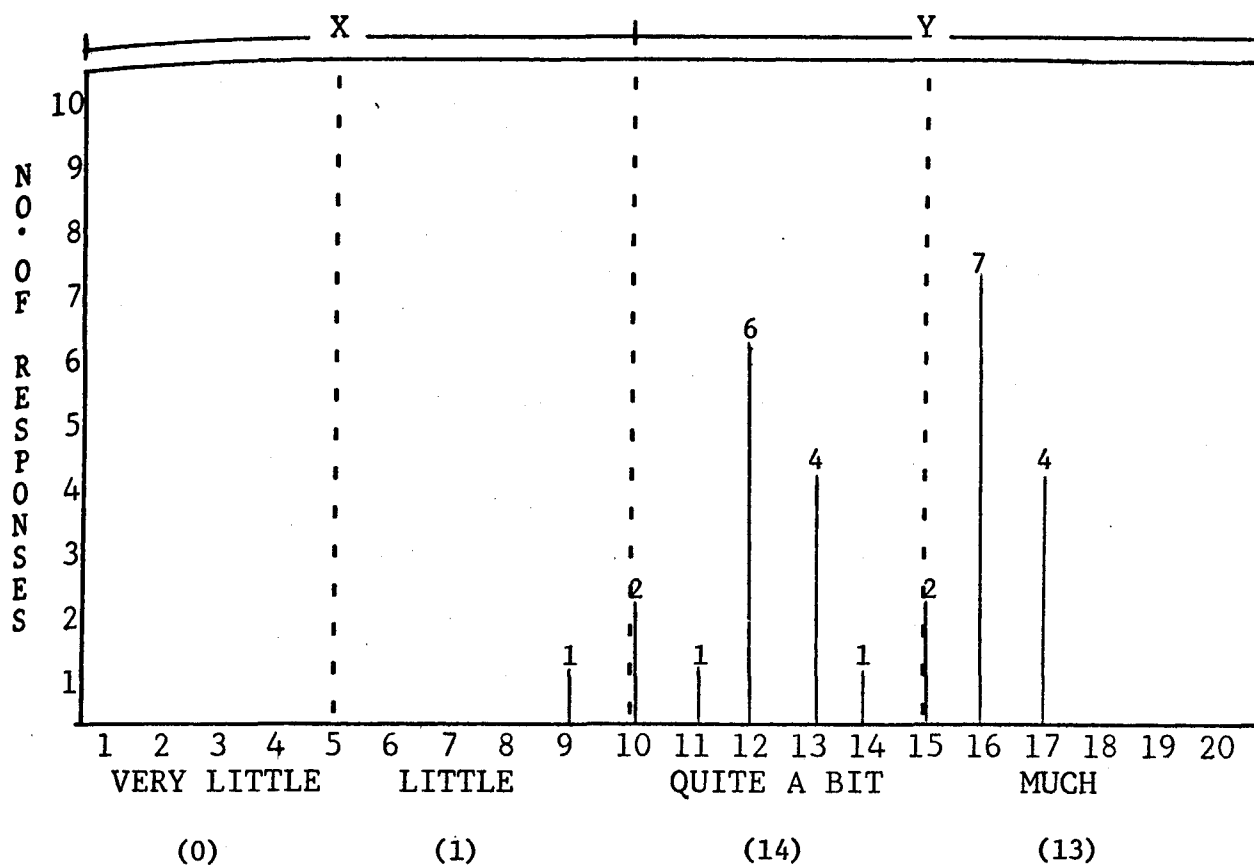
0 28

Question No. 12B: In assessing the junior high principal, to what extent do you view principals as: Having Creative Opportunities for Innovation.

The response range on a 0 - 20 scale was 10 - 19. If we consider a response of ten or above as positive, then none of the responses was negative. The median rating was 14.71.

TABLE 20

SUMMARY OF RESPONSES TO QUESTION 12C.



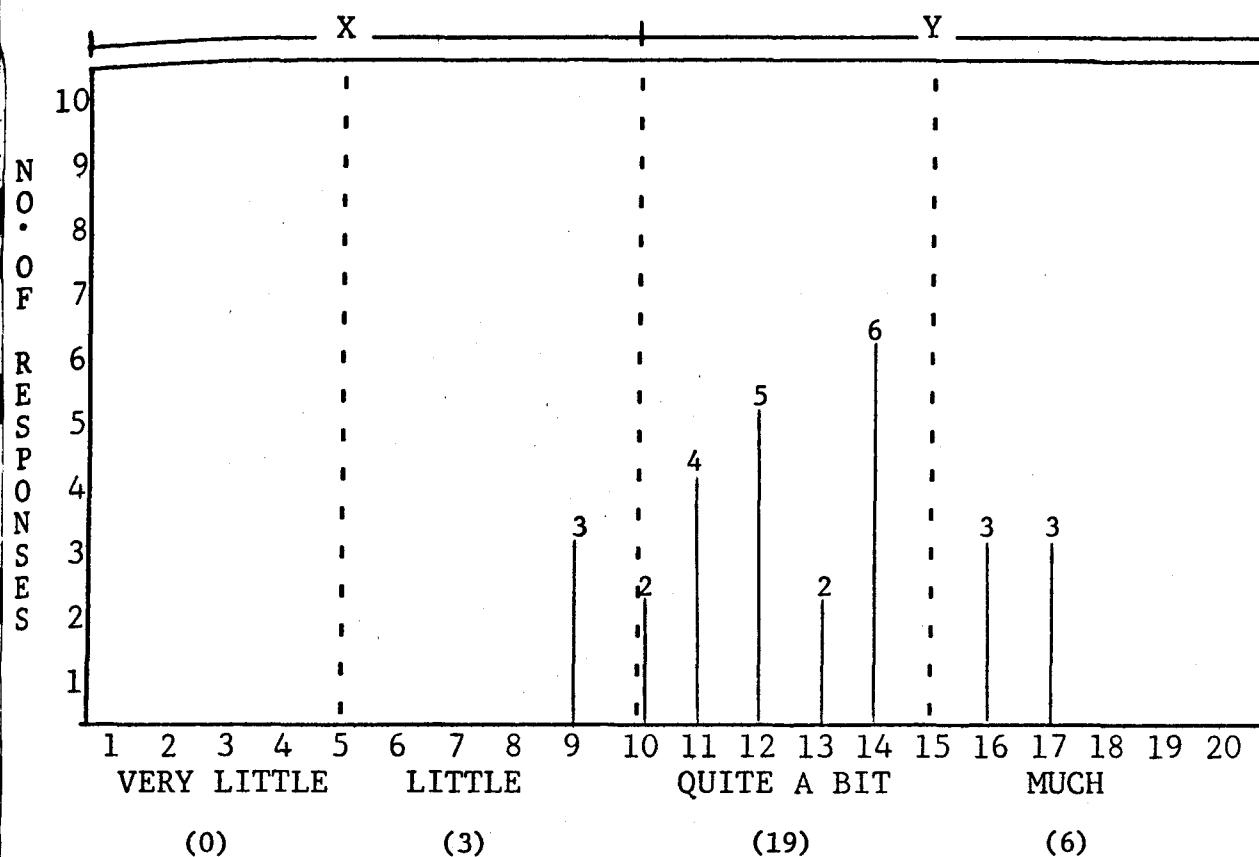
1 27

Question No. 12C: In assessing the junior high principal, to what extent do you view principals as: Having Obstacles Removed: Growth Encouraged and Responsibility Assumed.

The response range on a 0 - 20 scale was 9 - 17. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 14.00.

TABLE 21

SUMMARY OF RESPONSES TO QUESTION 12D



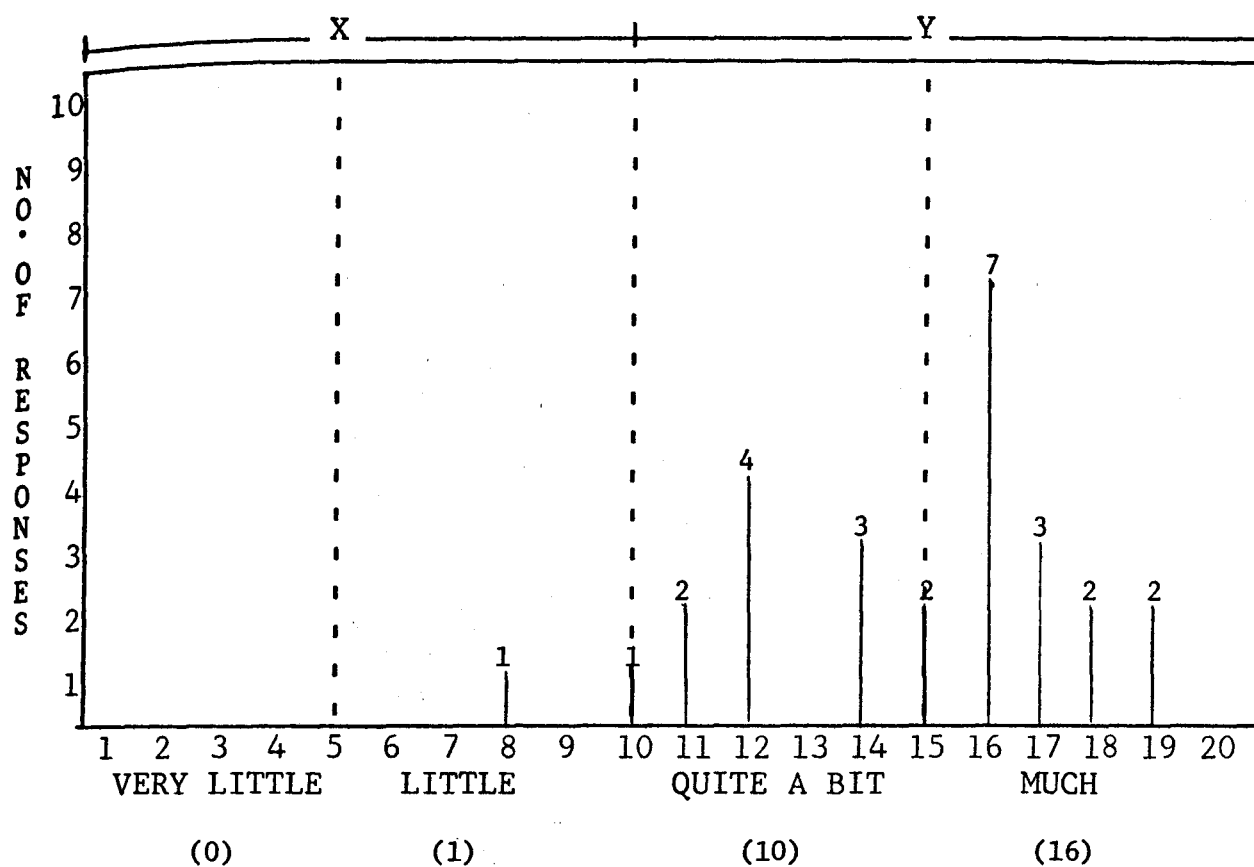
3 25

Question No. 12D: In assessing the junior high principal, to what extent do you view principals as: Directing his Creative Energies Toward District Objectives.

The response range on a 0 - 20 scale was 9 - 17. If we consider a response of ten or above as positive, then only three of the responses were negative. The median rating was 13.00.

TABLE 22

SUMMARY OF RESPONSES TO QUESTION 12E



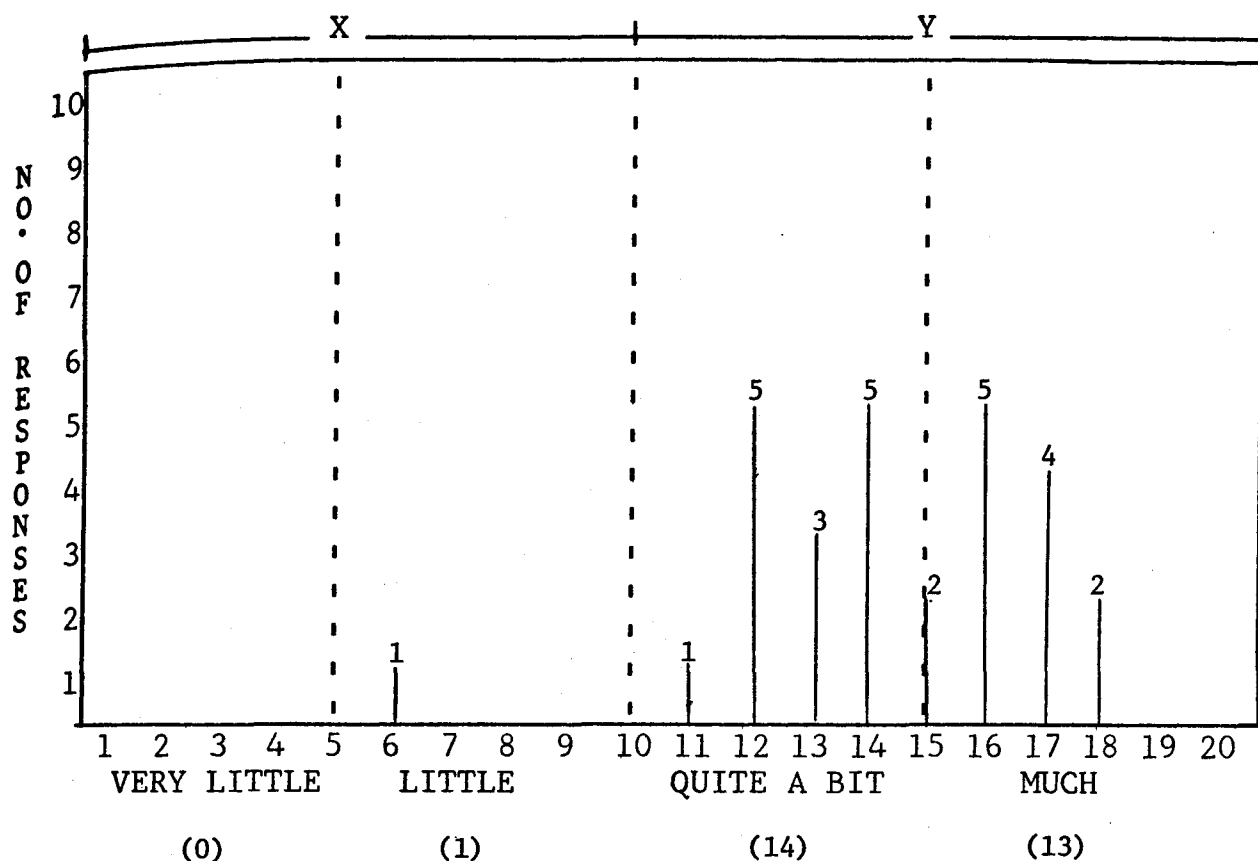
1 26

Question No. 12E: In assessing the junior high principal, to what extent do you view principals as: Having a Voice in Decisions; Being Motivated; Ready to Direct his own Behavior.

The response range on a 0 - 20 scale was 8 - 19. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 16.07.

TABLE 23

SUMMARY OF RESPONSES TO QUESTION 12F



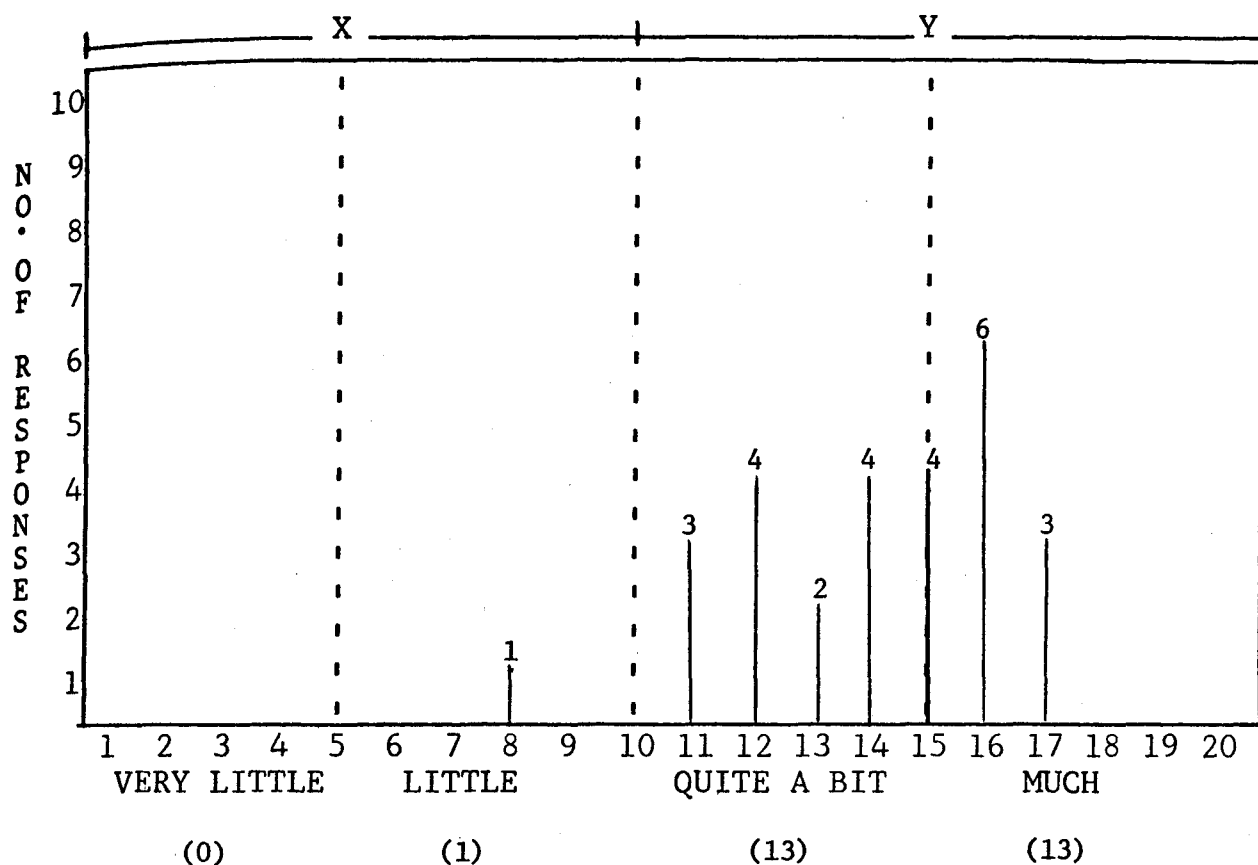
1 27

Question No. 12F: In assessing the junior high principal, to what extent do you view principals as: Having self-direction, Control of his Sphere of Authority.

The response range on a 0 - 20 scale was 6 - 18. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 14.80.

TABLE 24

SUMMARY OF RESPONSES TO QUESTION 12G



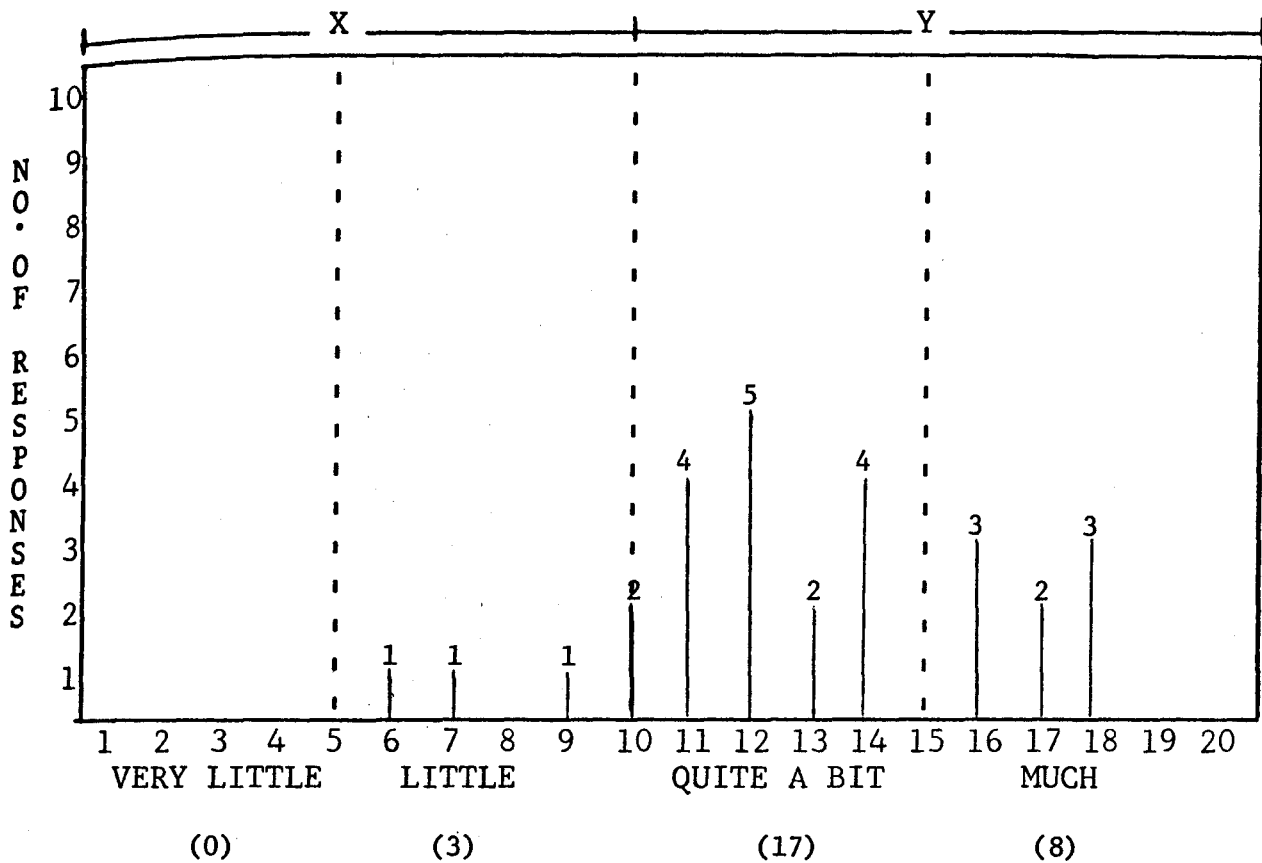
1 26

Question No. 12G: In assessing the junior high principal, to what extent to you view principals as: Having Capabilities that are Being Utilized by the District.

The response range on a 0 - 20 scale was 8 - 17. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 15.00.

TABLE 25

SUMMARY OF RESPONSES TO QUESTION 12H



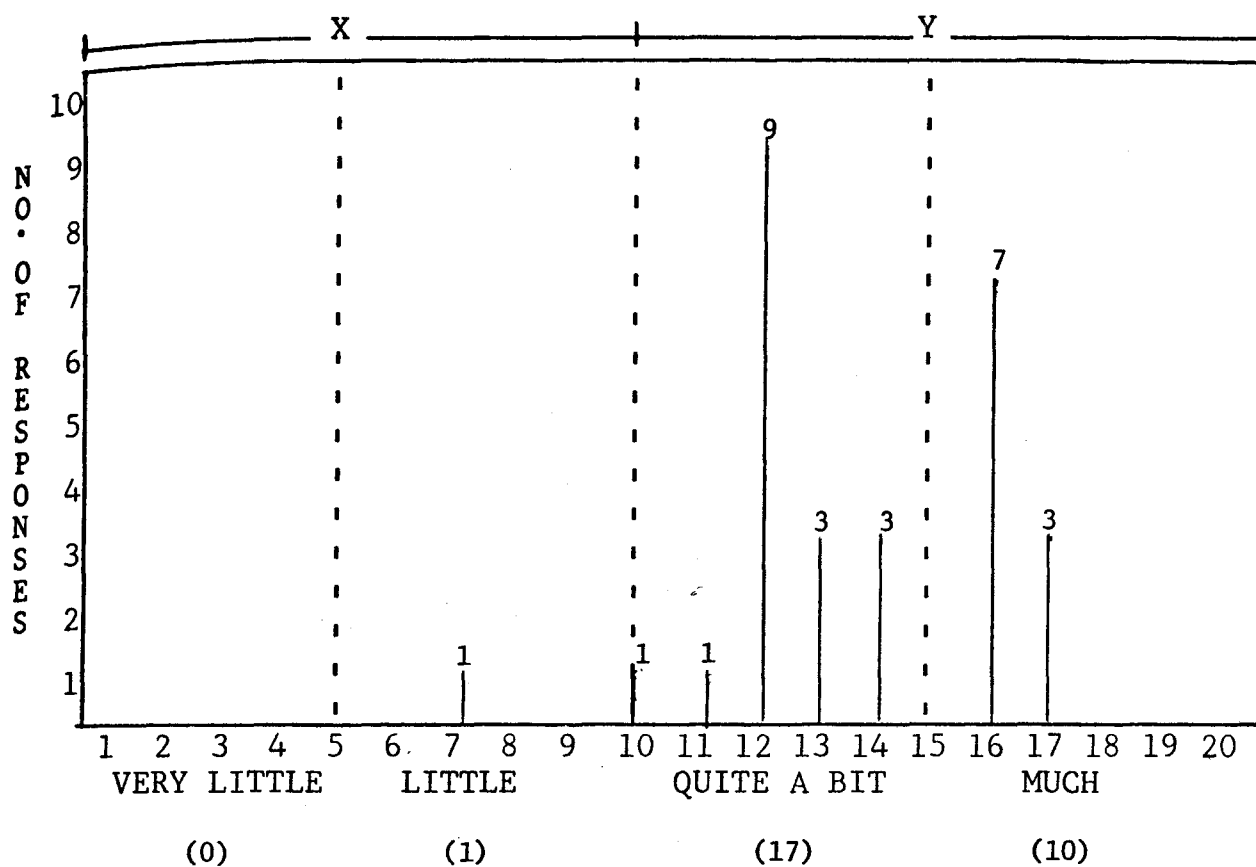
3 25

Question No. 12H: In assessing the junior high principal, to what extent do you view principals as: Having a Realistic Number of Objectives Set. (Short and long term).

The response range on a 0 - 20 scale was 6 - 18. If we consider a response of ten or above as positive, there were only three negative responses. The median rating was 13.00.

TABLE 26.

SUMMARY OF RESPONSES TO QUESTION 12I.



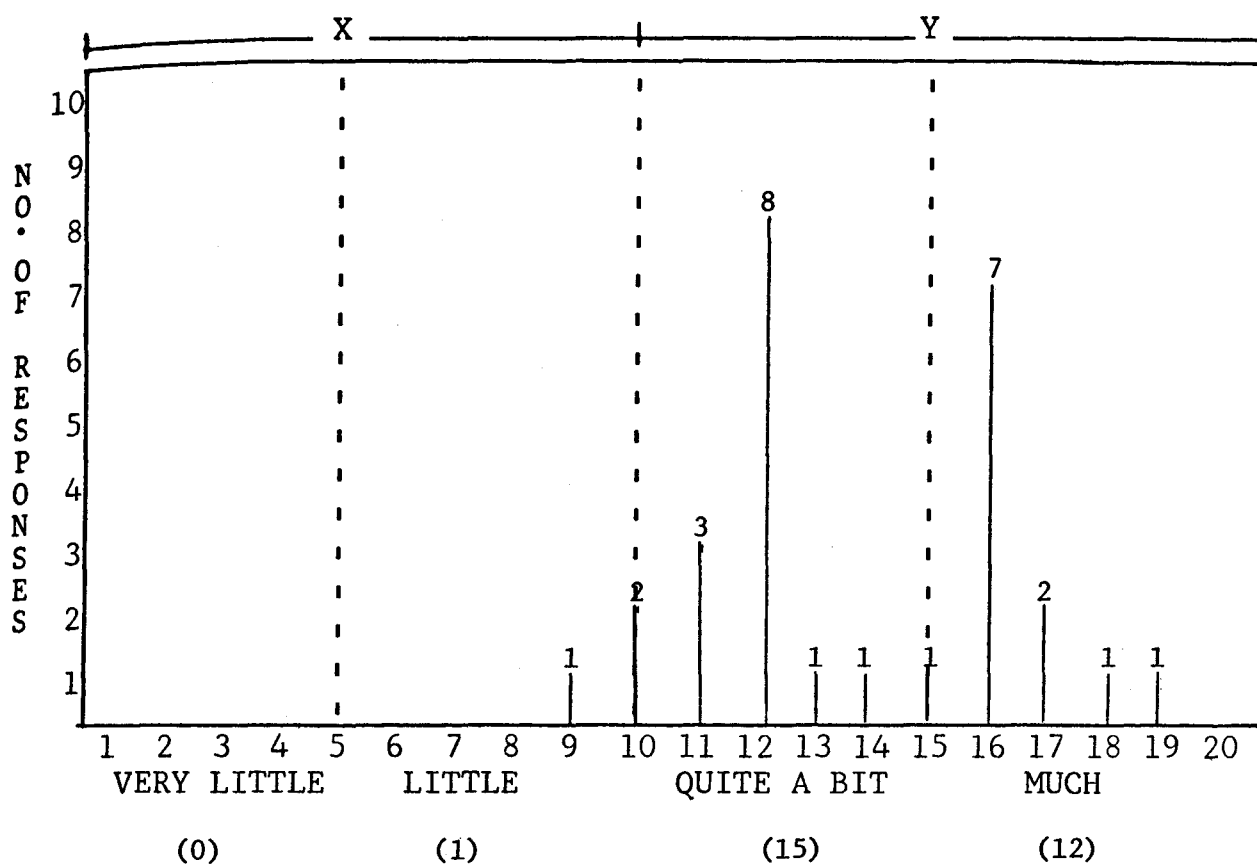
1 27

Question No. 12I: In assessing the junior high principal, to what extent do you view principals as having: A Job Description that is Clearly Stated and Understood.

The response range on a 0 - 20 scale was 7 - 18. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 13.67.

TABLE 27

SUMMARY OF RESPONSES TO QUESTION 12J.



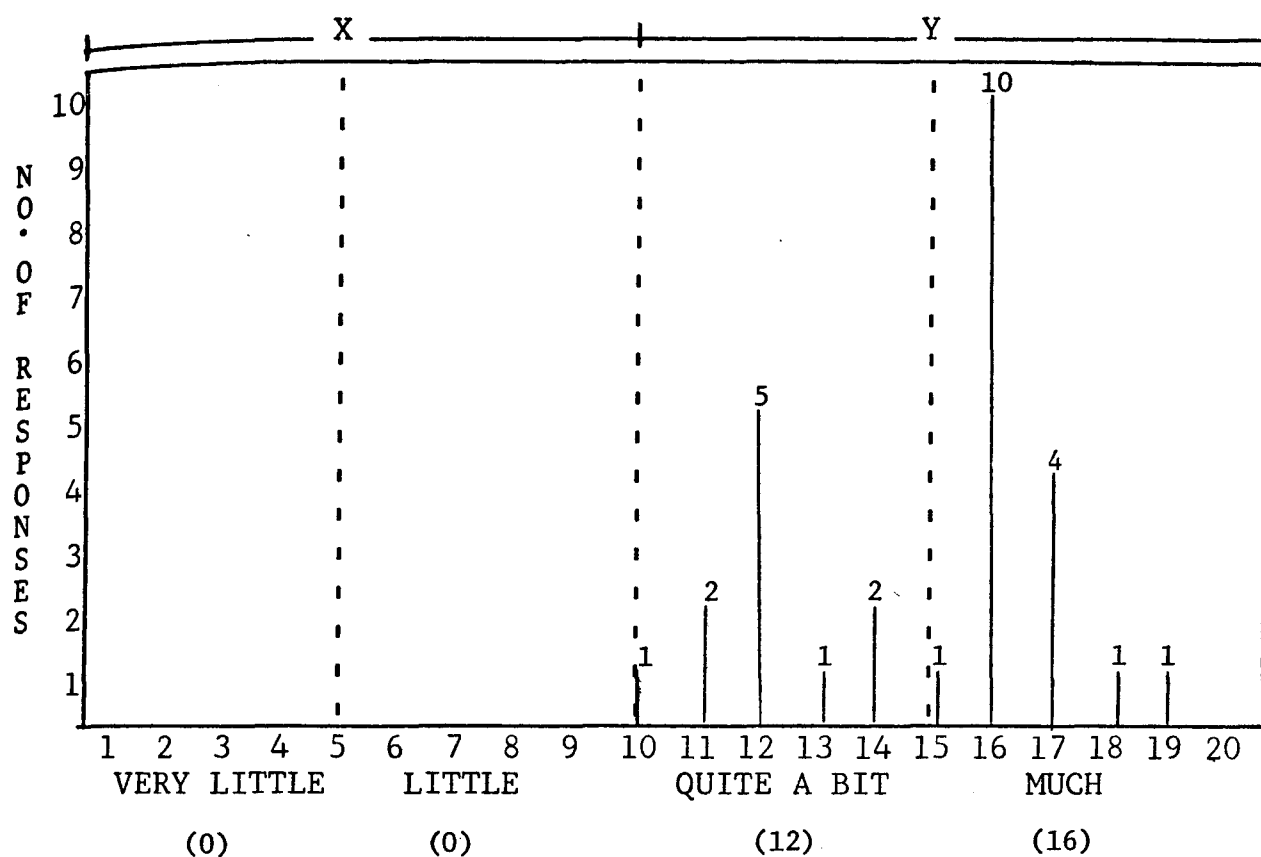
1 27

Question No. 12J: In assessing the junior high school principal, to what extent do you view principals as: Having a Greater and More Precise Understanding of Job Content and Expectations.

The response range on a 0 - 20 scale was 9 - 19. If we consider a response of ten or above as positive, then only one of the responses was negative. The median rating was 13.00.

TABLE 28

SUMMARY OF RESPONSES TO QUESTION 12K



0 28

Question No. 12K: In assessing the junior high school principal, to what extent do you view principals as: Exhibiting a Cooperative Effort with the Superintendent.

The response range on a 0 - 20 scale was 10 - 19. If we consider a response of ten or above as positive, then none of the responses was negative. The median rating was 16.20.

Summary of Hypothesis One

McGregor stated that a major task of management was to organize human effort as well as predict and control human behavior in contrast to classical organizational theories which gave full recognition to dependence upward, not worker independence. McGregor further stated that man could exercise self-direction and self-control in working toward objectives to which he is committed. The achievement of these objectives was man's reward by taking into account his ego and own self-actualization. People are dynamic and growth oriented as well as a source of substantial potentiality.

The response to the items considered in question ten and sub-items contained twelve negative perceptions as shown on the questionnaire. The average of the corresponding medians was 14.19 with a range of 13.08 to 16.14.

In addition, question twelve had twelve negative responses out of 334. The average of the median was 14.0 with a range of 13.0 to 16.2. The responses between 10-20 are also supportive of theory Y concepts.

Responses between 10-20 supported theory Y as it relates to self-motivation and integration of personal goals with the goals of the district. The median rating of 14.00 for self-motivation and 13.5 for congruence of personal and district goals support the concept of integration as stated by McGregor.

Individual needs should be recognized as well as those of the organization. Recognition of individual and organizational goals, and the opportunity to participate in accomplishing both, offers the principal self-fulfillment in his job. Self-fulfillment has many facets, the most common being: the satisfying of individual needs, unity of purpose between individual and organization, loyalty among peers, respect for individual worth and dignity, individual

achievement and accomplishment, and recognition among peers, all of which move toward goal achievement whether they be individual or organizational. Self-fulfillment reduces the divisiveness between individual and organizational goals, because an individual is capable to internalize organizational goals into individual goals and vice versa.

The capacity to meet individual as well as organizational needs to serve the purpose of individual as well as organizational achievement is discussed by Morphet, who stresses an organizational climate that fosters the meeting of individual needs, group loyalty and unity of purpose. Griffiths repeatedly emphasizes the "personalistic dimension" within the organizational structure to meet individual needs, and points to the view that the personalistic dimension is inseparable in the administration of an enterprise. Blake and Mouton made the meeting of individual needs a focal point to achievement of organizational goals. Herzberg also noted the importance of satisfying individual needs as a powerful factor toward motivation of individuals in an organization.

Etzioni, although skeptical of reducing motivation to one facet or form, supported the meeting of individual needs as essential in an idealistic organization such as the public schools. The median scores of 13.25 and 14.00 respectively for questions 10 a and d in the questionnaire supported the position that principals, to achieve enjoyment, the principalship must fulfill their individual needs.

Principals are a vital segment of the leadership team. To be most effective, they should see themselves as participants in the decision-making process. Participation should include the opportunity for the principal to influence the superintendent and achieve a greater sense of independence as well as bring recognition from one's peers and supervisors.

Leadership should be shared among those members of the leadership team that are responsible for execution of tasks. Morphet supports the view that leadership should not be confined to those holding status positions, but should be shared in proportion to responsibility. Participation in the decision-making process enlarges the job of the principal and leads to increased responsibility, growth, and development, a view supported by Strauss, Herzberg, and Schein. Participation in the decision-making process enhances the capability of principals to more effectively meet challenges, a view supported by McClelland and Argyris.

The questionnaire used in this study attempted to ascertain the scope of participation of junior high principals in the decision-making process. The data received supports the theory that participation by principals in the process leads to job enlargement, increased responsibility, growth and development, and an increased capability to meet challenges. The median score of 14.50 and 16.14 respectively on questions 10 b and c give ample evidence of support.

The principle of integration demands the creation of conditions which provide opportunities for principals to achieve their goals and have a significant degree of self-development. Inherent in the process of achieving goals and professional development is an effective program of evaluation which includes self-appraisal, day to day direction, and periodic summaries. The program of evaluation which incorporates these components and features an ongoing, sustaining process of candid appraisal tends to remove the threat factor and moves evaluation to a plane of opportunity for self-development. Thus the principal moves toward goal achievement in a well-measured progression through a series of well-defined steps rather than expansive saltation.

The principle of integration demands a managerial climate and a set of relationships where effective delegation occurs. Management's task in this climate becomes that of providing a program of development, the goal being to develop unique capabilities and potentialities of each individual. In this climate principal responsibility requires a clarification of the broad requirements of the position within limits of authority. The purpose of the positional clarification is to encourage growth and acceptance of responsibility.

The readings used in this study support the statements above. The University of Florida studies point to the fact that maximum production is attained in a threat-free climate. Herzberg supports the need for a managerial climate where opportunities exist for individuals to grow and develop within broad job requirements. Argyris challenged management to provide a work climate where everyone had an opportunity to grow, mature, and satisfy individual needs. Taylor supports the view that individuals need consistent feedback as to whether or not tasks have been completed in a threat-free managerial climate. Strauss supports the view that management should promote job enlargement, individual development in a climate which encompasses ongoing supervision and decentralization.

In summary, the readings generally support the creation of a threat-free climate with ongoing evaluation of task and goal achievement to allow people to grow, mature, and accept responsibility. If a connecting thread can be discerned in the readings, then it must be the call to management to provide a climate that optimizes self-development. The median scores (10 e, f and g) of 13.20, 14.33 and 13.08 respectively, support this statement.

Creative energy and innovative opportunities as well as encouraged growth and removal of obstacles are a part of McGregor's principle of

integration. Principals are perceived as having a voice in decisions, being self-directed, and having their capabilities utilized by the district. Theory y includes the establishment of specific targets including a limited time period for accomplishment of a clearly stated job description for the principal with a precise understanding of job content and expectation.

Management's major task, according to McGregor, is to organize human effort in service of objectives. If we accept the above statement as the major task of management, then a unit of purpose must be secured within the group to achieve objectives. Unity of purpose is difficult to achieve when leadership is confined to those people in the organization holding status positions; and if achieved in such an organizational climate, it is fleeting, non-sustaining, and usually accompanied with a threat. Sustained unity of purpose is achieved more frequently in an organization when all persons likely to be affected by decisions have opportunity for input and consensus is reached. Operating in this manner personal relationships become positive forces for achievement and result in group loyalty toward accomplishing personal as well as organizational goals and objectives.

The literature supports these components of McGregor's principle of integration. Strauss, Likert, Schein, Argyris and the Florida study among others, mention management's task to broaden the human base for decision-making, management's task to maximize a threat-free climate, management's task to assure individual development and growth, management's task to recognize individual achievement, and management's task to base their practice on accurate understanding of human motivation.

The responses to the questionnaire of this study show that superintendents perceive principals as working in an atmosphere which releases creative energy,

provides opportunities for innovative activities, and encourages growth. The median scores on question 12 a, b, c, and d are all positive responses. Principals are perceived by superintendents as having a voice in decisions, being self-directed and having their capabilities utilized by the district. The median scores on 12 e, f and g of the questionnaire support this statement. The median scores on 12 h, i and j support McGregor's Theory Y. Superintendents in this study did perceive junior high school principals as being self-motivated leaders who worked toward both personal and district goals.

Thus, the first hypothesis is accepted based upon the findings.

Hypothesis Two

The superintendents participating in the interview perceive junior high school principals as (Y) possessing a human desire to achieve goals and accept responsibility rather than (X) being passive and resistant to district needs.

Question 11 and its supporting questions asks the superintendent to rate junior high school principals on a twenty point scale in the area of passiveness to district goals and resistance to district needs. A rating of ten or more implies that the superintendent perceives the junior high principal as willing to accept district goals, and thus accept responsibility for helping to achieve those goals. The principal works toward set goals and does not resist those goals by revising, augmenting, or discarding them in preference to personal needs. When personal needs are in conflict with district goals, the principal would rather work toward achieving district goals than being passive or by resistance in favor of personal needs. A rating of ten or above would characterize a passive or resistant principal.

TABLE 29

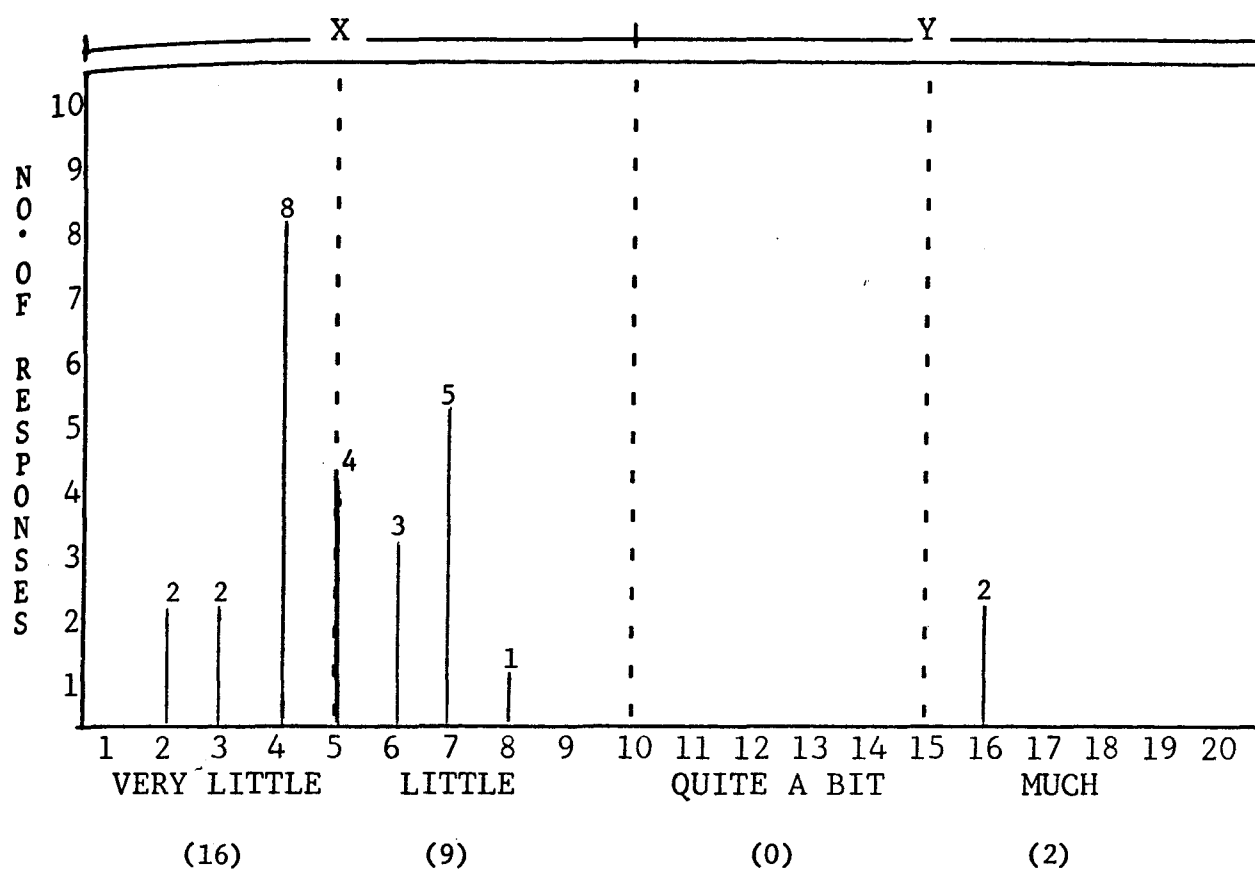
SUMMARY OF QUESTION 11 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
11. Being passive toward district goals and resistant to district needs.				
a. Being basically passive - a natural tendency				
b. Being resistant to change as it is being encouraged within the district				
c. Being conditioned by district experience				
d. Showing a lack of readiness to direct his own behavior				
e. Preferring to be led by his superiors				
f. Not assuming responsibility encumbant upon him due to the nature of the principalship				

TABLE 30

SUMMARY OF RESPONSES TO QUESTION 11



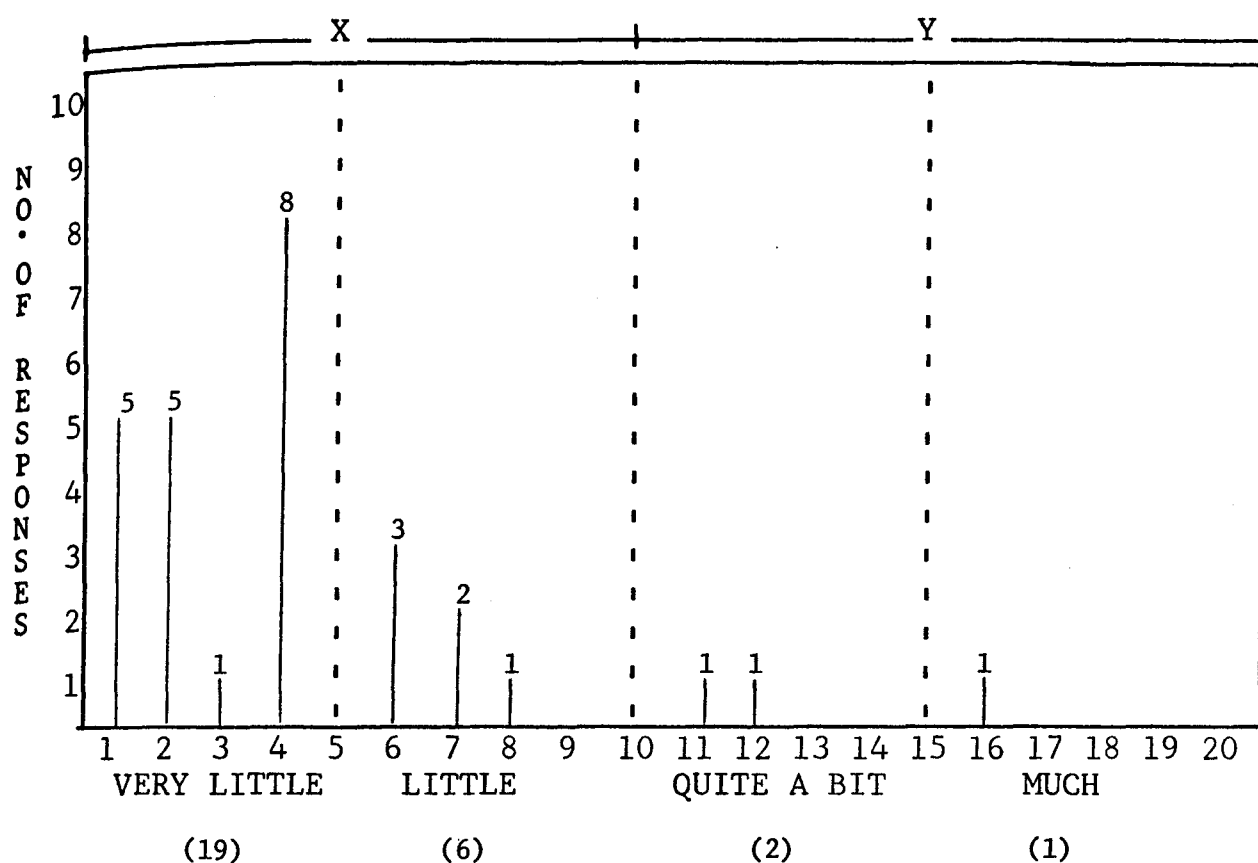
25 2

Question No. 11: In assessing the junior high principal, to what extent do you view principals as: Being Passive toward District Goals and Resistant to District Needs.

The response range on a 0 - 20 scale was 2 - 16. If we consider a response of ten or above as positive, there were then only two negative responses. The median rating was 5.38.

TABLE 31

SUMMARY OF RESPONSES TO QUESTION 11A



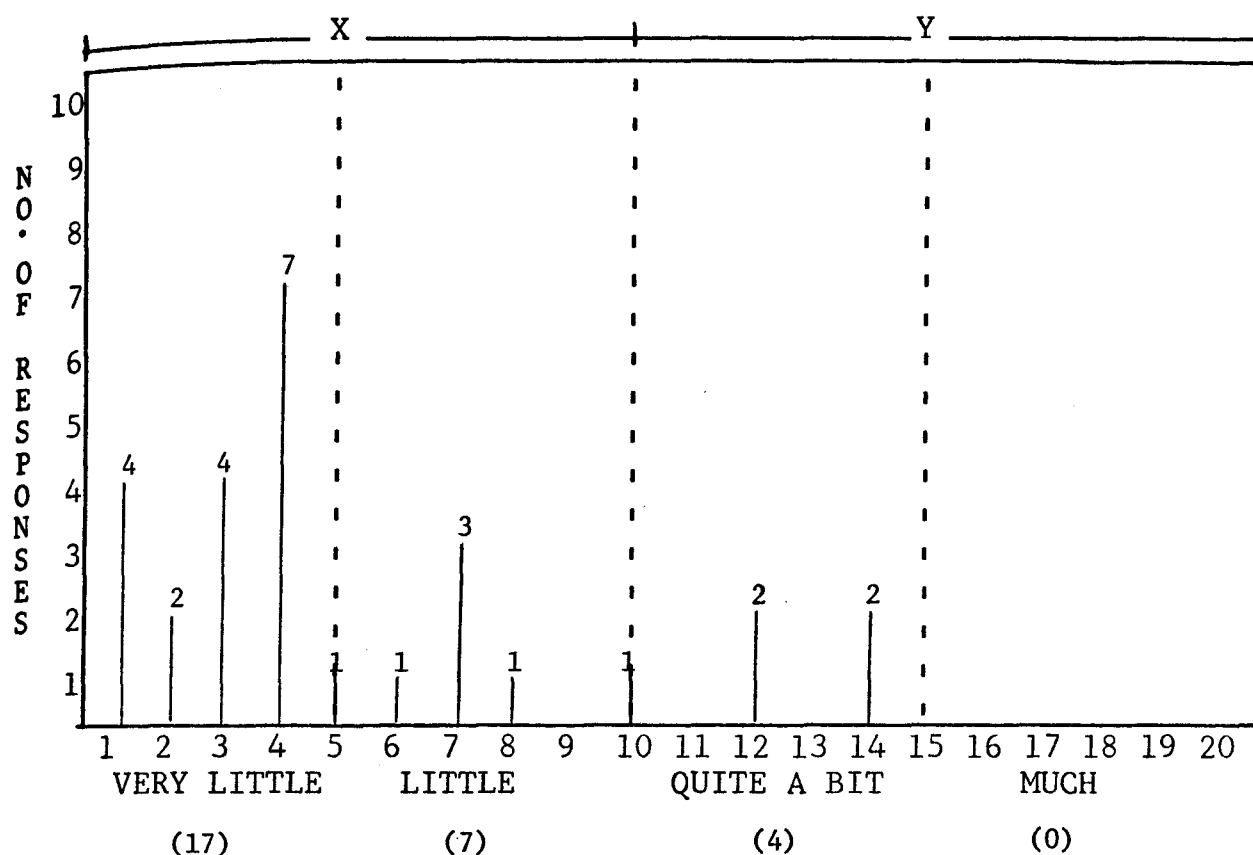
25 3

Question No. 11A: In assessing the junior high principal, to what extent do you view principals as: Being Basically Passive - A Natural Tendency.

The response range on a 0 - 20 scale was 1 - 16. If we consider a response of ten or above as positive, then only three of the responses was negative. The median rating was 4.38.

TABLE 32

SUMMARY OF RESPONSES TO QUESTION 11B



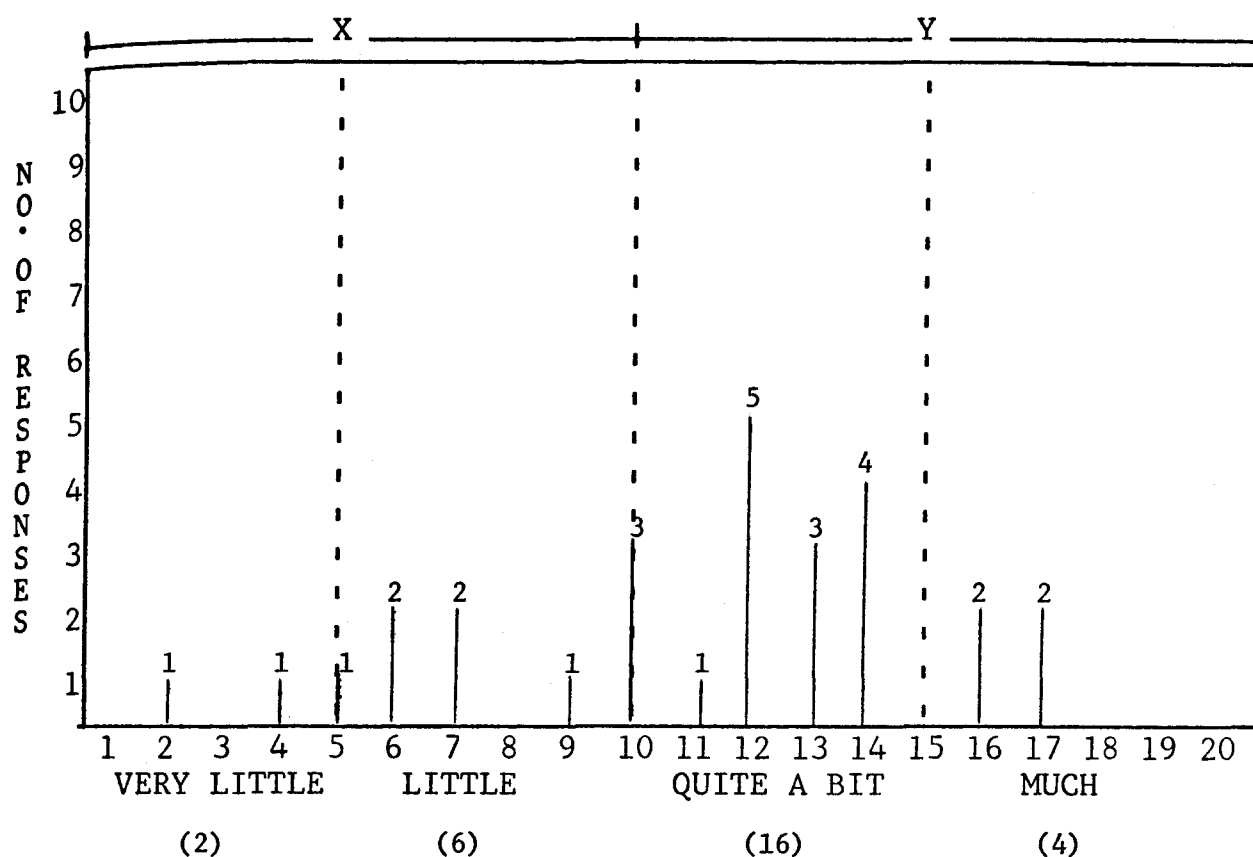
24 4

Question No. 11B: In assessing the junior high principal, to what extent do you view principals as: Being Resistant to Change as it is being Encouraged within the District.

The response range on a 0 - 20 scale was 1 - 14. If we consider a response of ten or above as positive, then only four of the responses were negative. The median rating was 4.57.

TABLE 33

SUMMARY OF RESPONSES TO QUESTION 11C



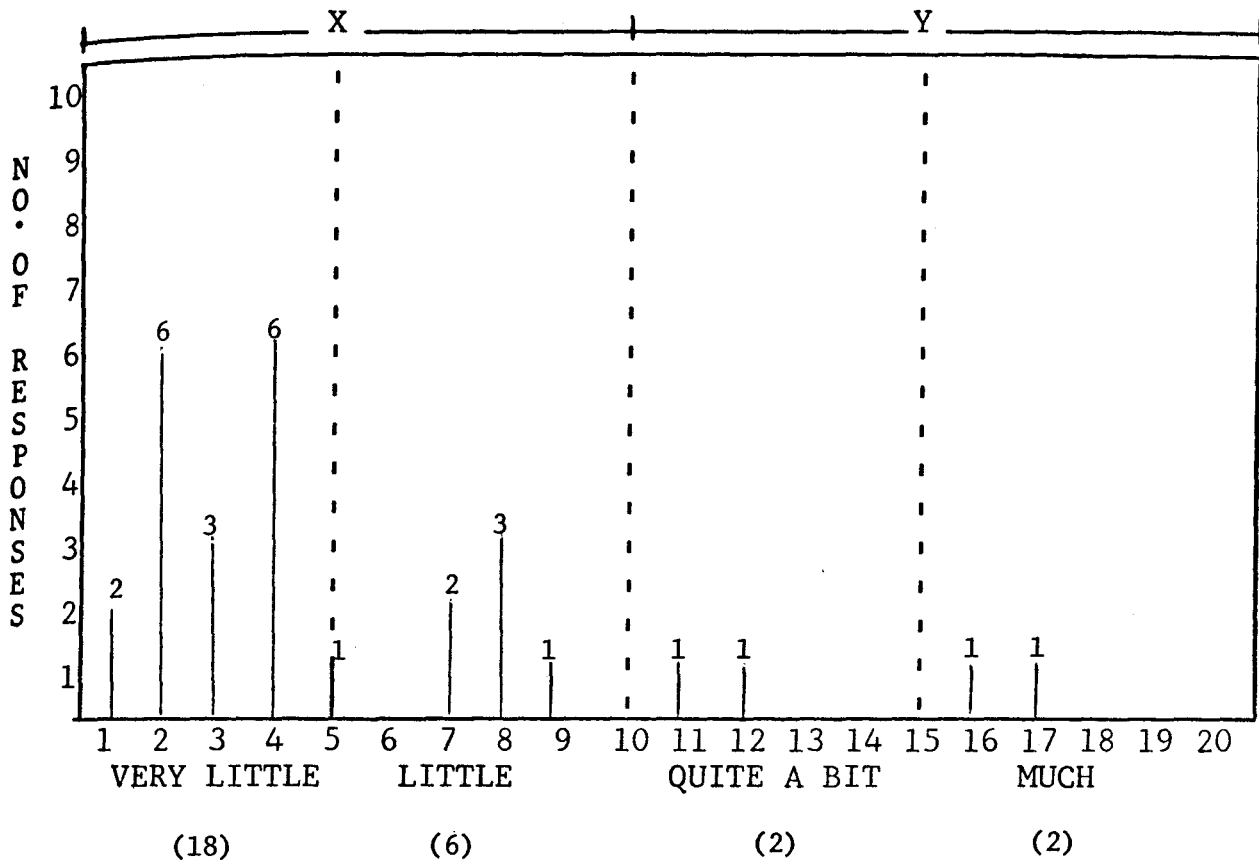
8 20

Question No. 11C: In assessing the junior high principal, to what extent do you view principals as: Being Conditioned by District Experience.

The responses to Question 11C show evidence that superintendents perceive principals being conditioned by district experience. The responses are well scattered along the twenty-point rating scale, with twenty respondents rating principals ten or above and nine respondents rating principals nine or below. The median rating was 11.4.

TABLE 34

SUMMARY OF RESPONSES TO QUESTION 11D



24

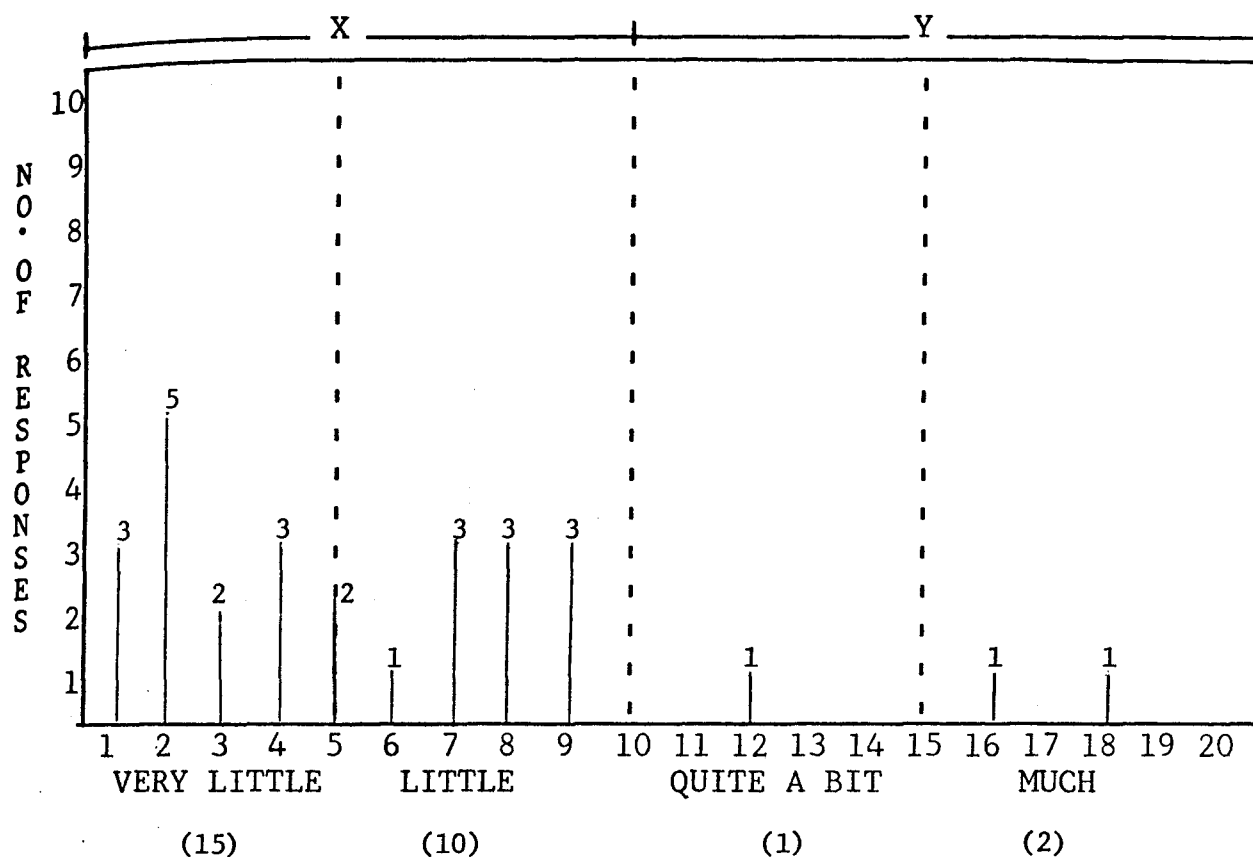
4

Question No. 11D: In assessing the junior high principal, to what extent do you view principals as: Showing a Lack of Readiness to Direct his own Behavior.

The response range on a 0 - 20 scale was 1 - 17. If we consider a response of ten or above as positive, then only four of the responses were negative. The median rating was 4.5.

TABLE 35

SUMMARY OF RESPONSES TO QUESTION 11E



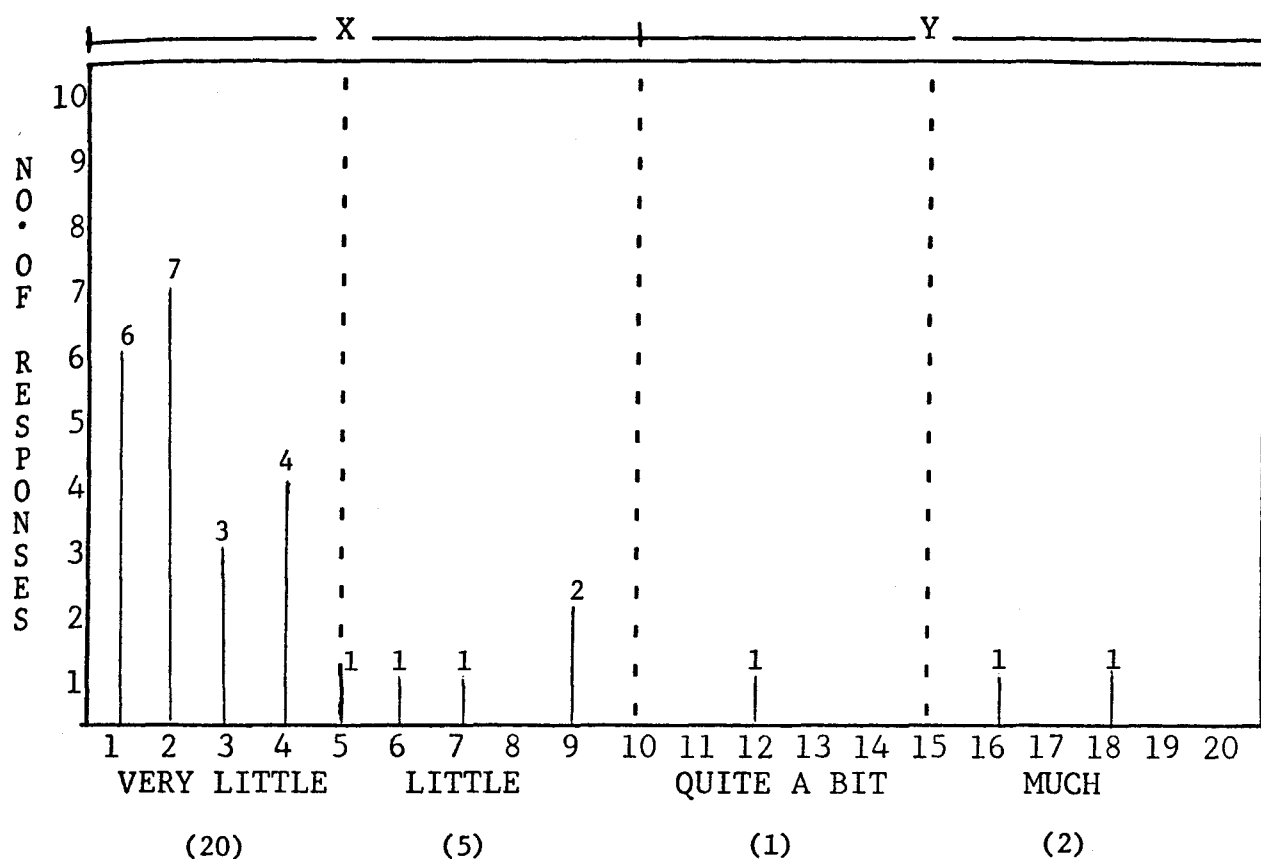
25 3

Question No. 11E: In assessing the junior high principal, to what extent do you view principals as: Preferring to be Led by his Superiors.

The response range on a 0 - 20 scale was 1 - 18. If we consider a response of ten or above as positive, then only three of the responses were negative. The median rating was 5.5.

TABLE 36

SUMMARY OF RESPONSES TO QUESTION 11F



25 3

Question No. 11F: In assessing the junior high principal, to what extent do you view principals as: Not Assuming Responsibility Incumbent Upon Him Due to the Nature of the Principalship.

The response range on a 0 - 20 scale was 1 - 18. If we consider a response of ten or above as positive, then only three of the responses were negative. The median rating was 3.33.

Summary of Hypothesis Two

The responses to the items in question 11 and sub-items contained 40 negative perceptions out of 195 responses as shown on Table 29. The average of the corresponding medians was 6.0, with a range of 3.33 to 11.4.

Responses between 1-10 supported theory Y by viewing principals as not passive and resistant toward district goals. They are not seen by the superintendents as being unable to direct their own behavior and do not prefer to be led by the superiors, but assume the responsibility of the position of the principalship.

The basic principles of early management theories generally featured leadership confined to a single executive, clearly defined status positions and accompanying privileges, well defined authority, responsibility and decisions made at the top and deployed downward for others to follow. In these authoritarian models people in the organization had to be led because it was the common assumption that people performed best when they were marshalled by a strong leader to coordinate efforts to achieve the organizational goals as defined by the authoritarian leader. With decision-making centered at the top or inner circle the leader communicated only to the next downward echelon, considered himself above the rest, and discouraged or blocked free communication. Everyone in the organization below the leader played it safe, avoided failure, and preferred specific directions.

Question 11 was included in the questionnaire to check the responses of questions 10 and 12. It was worded in such a manner that positive responses to question 11 would negate to a considerable extent the positive responses to questions 10 and 12. Thus, if the superintendents perceived principals operating under McGregor's Y theory, the responses to questions 10 and 12 would be

positive and responses to question 11 would be negative. If superintendents perceived principals operating on McGregor's X theory the responses to questions 10 and 12 would be negative and responses to question 11 would be positive.

All the responses to question 11 show negative responses except 11 c, if we assume that a median of under 10 denotes a negative response. Question 11c received a median score of 11.4, but this score denotes support for McGregor's Y theory. In his Y theory, McGregor maintained that conditioning by experience is expressed in habits, attitudes and expectations. Superintendents expressed the view that conditioning is a positive aspect of the experience gained in the district. During the interviews superintendents repeatedly stated that conditioning on the part of principals denoted background, familiarity with procedures, expectations, and ability to make decisions consistent with district expectations and philosophy. It is more likely that principals, operating in a Y theory climate, had achieved unity of purpose between their individual needs and goals and the needs and goals of the district. This achievement of unity of purpose between individual and organization is an essential segment of McGregor's Y theory.

The median scores of 4.38, 4.57, 4.5, and 5.5 for questions 11 a, b, d, and e respectively are strong indices that superintendents do not see principals as being passive and resistant to change. The responses clearly show that principals do not dislike work and that they preferred to be led. Principals are not, according to the superintendents, complacent, alienated, or apathetic.

The median scores for 11 d, e, and f of 4.5, 5.5, and 3.33 respectively upheld the superintendents' Y view that principals do direct their own behavior, do not prefer to be led by their superiors, and do assume responsibility. This correlates with responses to questions 12 d, f, and k, in which superintendents

viewed principals as directing their creative energies, having self-direction, and cooperating with the superintendent.

Thus the second hypothesis is accepted based upon the findings.

Hypothesis Three

The formal evaluation instruments used by superintendents to evaluate junior high school principals mention factors that can be classified as X role items more frequently than Y items.

The analysis of presently used instruments in DuPage County was difficult due to the variation in format of each instrument. There was a great difference in the number of items included as well as the statement of purpose.

The statement of purpose had to be relied upon to help interpret the intent of the evaluation instrument as expressed district by district. The interview and introductory instructions were the most helpful in this area. Several materials sent to this writer did not lend themselves to analysis in that they spelled out the process with general categories listed, but little information that could be analyzed as to their X or Y characteristics.

The district instruments will be analyzed and numbered in the order as listed alphabetically in Appendix B. Districts 3, 6, 7, 9, 11, 13, 16, 19, 20 and 21 as listed on page 25 of this study did not have a written evaluation instrument. Therefore, they are not included in the following analysis. A summary chart of analyzed district instruments is included in Appendix C.

School district number 1 in this study submitted an eighteen item evaluation form. Emphasis was placed upon quality characteristics, professional performance, and community relationships.

An analysis of the items produced a total placement in the Y column of 35 separate scores as follows: 8 in decentralized, delegated; 10 in job enlargement; 9 in participative, consultative; and 7 in performance appraisal. Three scores could not be categorized. Placement in the X column of 18 separate scores was as follows: 3 in centralized organization; 5 in each of these categories--institutionally controlled action, institutionally controlled efforts, and institutionally set goals. The results in percentages are shown in Table 37: 61.2 per cent were Y items; 32.5 per cent were X items; and 5.5 per cent were not categorized.

School district number 2 in this study submitted a procedure only. It did not include listed items that could be analyzed. The procedure included the writing of improvement objectives which consisted of major evaluation areas and specific improvement objectives. These, in turn, were evaluated by the superintendent with dates, anecdotal notes, strengths and recommendations. The superintendent relies upon a job description and previously agreed upon job targets or objectives.

TABLE 37

ITEM ANALYSIS OF DISTRICT 1 INSTRUMENT

Hypothesis
ThreeSchool District No. 1Total No. of Items 55

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 1, 2, 7 5.5%	(1) Decentralized, Delegated Items - 8, 9, 10, 13, 14, 15, 16, 17 14.5%
(2) Institutionally Controlled Action Items - 1, 2, 4, 5, 7 9 %	(2) Job Enlargement Items - 3, 8, 9, 10, 12, 13, 14, 15, 16, 17 18 %
(3) Institutionally Controlled Efforts Items - 1, 2, 4, 5, 7 9 %	(3) Participative / Consultative Items - 8, 9, 10, 12, 13, 14, 15, 16, 17 16 %
(4) Institutionally Set Goals Items - 1, 2, 4, 5, 7 9 %	(4) Performance Appraised Items - 3, 8, 9, 10, 12, 16, 17 12.7%
X TOTAL 32.5%	Y TOTAL 61.2%
(5) Does Not Fit Category Items - 5, 11, 18 5.5%	

School district number 4 uses a supervisor's appraisal procedure which is as follows:

Each year a supervisor must take a hard look at his role and job performance and realistically assess what he has accomplished, what needs to be accomplished, what can realistically be done, both by himself and with others with whom he cooperates, to bring about needed improvements in programs for boys and girls.

The evaluatee's immediate supervisor, in effect, evaluates the evaluatee's assessment of himself, both on the evaluation form and in a post-evaluative conference.

1. Long term and short term goals are agreed upon at a conference prior to September 1 of a school year.
2. Accomplishment of these goals is a cooperative effort between evaluatee and evaluator and any others who may be involved.

NOTE: Goals may need to be revised as conditions change.

Rate of Appraisal

- A. Beginning supervisors, once each year for two years.
- B. Experienced supervisors in school district every two years.

An analysis of fourteen items produced a total placement in the Y column of 23 separate scores as follows: 6 in decentralized, delegated; 5 in job enlargement; 8 in participative, consultative; and 4 in performance appraised. Seven total scores could not be categorized; no scores were marked in the X column. The results in percentages are shown on Table 38: 77 percent were Y items; 23 percent were not categorized; and none were in the X column. The district instrument does not support a verification of the hypothesis.

TABLE 38

ITEM ANALYSIS OF DISTRICT 4 INSTRUMENT

Hypothesis
ThreeSchool District No. 4Total No. of Items 30

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 0 0 %	(1) Decentralized, Delegated Items - 1, 2, 3, 4, 5, 11 20 %
(2) Institutionally Controlled Action Items - 0 0 %	(2) Job Enlargement Items - 1, 2, 4, 5, 12 17 %
(3) Institutionally Controlled Efforts Items - 0 0 %	(3) Participative / Consultative Items 1, 2, 3, 4, 5, 9, 10, 11 27 %
(4) Institutionally Set Goals Items - 0 0 %	(4) Performance Appraised Items 1, 2, 4, 5 13 %
X TOTAL 0 %	Y TOTAL 77 %
(5) Does Not Fit Category Items - 6, 7, 8, 13, 14, 15, 16 23 %	

School district number 5 had an eighty-five item evaluation form. It was developed as a part of a continuous improvement program. Emphasis was placed upon self-evaluation of each administrator. Major topics include: personal responsibilities, administrative and professional responsibilities, community responsibilities, instructional supervision, administrator and student relationships, physical traits, emotional traits, and staff relations.

A major problem with the instrument developed because of the format of each question. An example is: "To what extent do I accept administrative decisions and work enthusiastically toward achieving goals even though they may not conform to my personal opinions?" (A. Excellent. B. Average. C. Below Average).

The concept is certainly a Y item in its essence, but this format makes it a district requirement, labeled personal responsibility. All items fit the same descriptive problem, thus are marked as X items for scoring on the next table, Table 39. All items become a part of (A) Centralized Organization, (B) Institutionally Controlled Action, (C) Institutionally Controlled Efforts, and (D) Institutionally Set Goals. One hundred percent are X items, and none are Y items.

School district number 8 has five major categories on the instrument being used presently. They are for self-evaluation and do not lend themselves well to analysis. A sample question is: "Are you above average as a principal? Why?" The principal fills in a narrative answer for the superintendent who then evaluates the principal in a conference. The end result is a management letter in which the superintendent summarizes his comments and states needed improvements for the following year.

Although the process includes self-evaluation, a Y concept, and an evaluation conference, it falls short of most of the criteria set for a complete Y process. Mutual goal setting is not a part of the district's process.

School district number 10 had a forty-five item evaluation instrument. It was developed to evaluate annually the leadership, supervisory, and administrative skills and promote the educational development of each student. The principals' performance responsibilities include: administration, business, community, health and safety, instruction, personnel, students, and professional activities.

An analysis of 45 items produced a total placement in the Y column of 29 separate scores as follows: 6 in decentralized, delegated; 11 in job enlargement; 9 in participative, consultative; and 3 in performance appraisal. Placement in the X column included: 23 in each of the following--centralized organization, institutionally controlled action, institutionally controlled efforts, and institutionally set goals. Six items did not lend themselves to either category. The results in percentages are shown on Table 40: 22.83 percent were Y items, 72.44 percent were X items, and 4.72 percent were not included.

School district number 12 consists of a management by objectives systems approach. There are no particular items that can be categorized X or Y.

General conclusions stated in the model are:

1. Development of this method of management is long range in scope.
2. It does provide a vehicle for participatory leadership.
3. It is designed to motivate the staff and lead to job satisfaction.
4. Although not discussed at length in this paper, the development of goals and objectives is essential in the use of "Planned Program Budgeting Systems."
5. Provides a technique for meeting the demand for increased accountability in education.
6. Provides a technique for meaningful staff evaluation.
7. Provides a systematic technique for decision-making.

The model is Y oriented in that all individuals involved directly in the enterprise are managers. Hence, students, teachers, department chairmen, principals, and others in the hierarchy are managers. The basic philosophy is to provide a process by which effective communication is developed between all levels with reference to: expectations of the individual, group, and institution; the priorities which need to be established; and an understanding of the accomplishment and improvements to be derived. It is followed by organizing, communicating, motivating, and directing to bring about the desired results. Appraisal is absolutely essential to determine attainment. Commitment is essential on the part of the staff. Responsibility is established as a part of the process. Accountability can be provided through this technique.

Individuals at each level establish goals for professional growth, changes in group behavior, working relationships with others. Goals are based upon the individual's own assessment of need. They are not intended to produce

conformity, but to produce innovation and change to the betterment of the educational process.

Classification of specific items was not possible because only the process is available at the time of the interview. The process is Y oriented and would have to be developed in more specificity to be categorized beyond this point. It is listed in Appendix C as a Y oriented process.

School district number 14 had a 98 item evaluation form. Major emphases were: relationships with board and superintendent, teachers and children, personal characteristics, evidence of professional growth, supervising practices, administrative practices, and public relations.

Seventy-five items were classified in the X column for several reasons. An example item was: "I accept and carry out the administrative policies of the district." Each item was expressed in terms of institutionally expressed directives. Other items such as: following a master calendar, getting reports in on time, were typical of the evaluation instrument.

Fourteen items were not classified since the intent could not be determined. An example was, "I am humble."

The results in percentages are shown on Table 41.

TABLE 41

ITEM ANALYSIS OF DISTRICT 14 INSTRUMENT

Hypothesis
ThreeSchool District No. 14Total No. of Items 314

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 1 - 75 (Excluding those listed in number 5) 23.89%	(1) Decentralized, Delegated Items - 0 0 %
(2) Institutionally Controlled Action Items - 1 - 75 (Excluding those listed in number 5) 23.89%	(2) Job Enlargement Items - 0 0 %
(3) Institutionally Controlled Efforts Items - 1 - 75 (Excluding those listed in number 5) 23.89%	(3) Participative / Consultative Items - 0 0 %
(4) Institutionally Set Goals Items - 1 - 75	(4) Performance Appraised Items - 0 0 %
(5) Does Not Fit Category	

School district number 15 submitted a 33 item evaluation instrument. Major categories included personal qualities, job effectiveness, job performance, and professionalism.

An analysis of the items produced a total placement in the Y column of 33 separate scores as follows: 10 in decentralized, delegated; 10 in job enlargement; 9 in participative, consultative; and 4 in performance appraisal. Placement in the X column included: 13 in each category, totalling 52 items. Ten items were placed in the Does Not Fit Category.

The results in percentages are shown on Table 42: 34.74 percent were Y items, 54.74 percent were X items, and 10.53 percent were not included.

School district number 17 in this study submitted a 12 item evaluation form. Emphasis was placed upon personal characteristics as well as leadership, problem solving, professional knowledge, supervision, morale, relationships with colleagues, community, students, and attention to details.

An analysis of the items produced a total placement in the Y column of ten separate scores as follows: 2 in decentralized, delegated; 4 in job enlargement; 3 in participative, consultative; and 1 in performance appraisal.

Four scores could not be categorized. Placement in the X columns of six separate scores was as follows: 1 in each of the first three categories--centralized organization, institutionally controlled action, and institutionally controlled efforts. Institutionally set goals had three scores.

The results in percentages are shown on Table 43: 50 percent were Y items, 30 percent were X items, and 20 percent were not categorized.

TABLE 42

ITEM ANALYSIS OF DISTRICT 15 INSTRUMENT

Hypothesis
ThreeSchool District No. 15Total No. of Items 95

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 1a, 1b, 1c, 3a, 3c, 3d, 9a, 10, 12a, 12b, 14, 15b, 16a 13.68%	(1) Decentralized, Delegated Items - 2a, 2b, 3b, 4, 6a, 6b, 7a, 7b, 8b, 16b 10.53%
(2) Institutionally Controlled Action Items - 1a, 1b, 1c, 3a, 3c, 3d, 9a, 10, 12a, 12b, 14, 15b, 16a 13.68%	(2) Job Enlargement Items - 2a, 2b, 3b, 6a, 6b, 7a, 7b, 8b, 9b, 16b 10.53%
(3) Institutionally Controlled Efforts Items - 1a, 1b, 1c, 3a, 3c, 3d, 9a, 10, 12a, 12b, 14, 15b, 16a 13.68%	(3) Participative / Consultative Items - 2a, 2b, 3b, 6a, 6b, 7a, 7b, 8b, 9b 9.47%
(4) Institutionally Set Goals Items - 1a, 1b, 1c, 3a, 3c, 3d, 9a, 10, 12a, 12b, 14, 15b, 16a 13.68% X TOTAL 54.72%	(4) Performance Appraised Items - 2a, 2b, 3b, 4 4.21% Y TOTAL 34.74%
(5) Does Not Fit Category Items - 5a, 5b, 8a, 8b, 8c, 11, 12c, 13, 15a, 15c 10.53%	

TABLE 43

ITEM ANALYSIS OF DISTRICT 17 INSTRUMENT

Hypothesis
ThreeSchool District No. 17Total No. of Items 20

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 10 5 %	(1) Decentralized, Delegated Items - 2, 3 10 %
(2) Institutionally Controlled Action Items - 10 5 %	(2) Job Enlargement Items - 3, 4, 5, 6 20 %
(3) Institutionally Controlled Efforts Items - 10 5 %	(3) Participative / Consultative Items - 3, 5, 6 15 %
(4) Institutionally Set Goals Items 1a, 1c, 10 15 %	(4) Performance Appraised Items - 3 5 %
X TOTAL 30 %	Y TOTAL 50 %
(5) Does Not Fit Category Items - 1b, 7, 8, 9 20 %	

School district number 18 had a 16 item evaluation form. Major topics dealt with areas of highlights during the year, facts that inhibited progress, central office services, personnel, program, pupils, plant and school as a whole. It also asked for accomplishments such as written articles, addresses given at professional meetings, conferences and courses completed and areas that should be given attention during the coming year.

An analysis of the items produced a total placement in the Y column of 22 separate scores as follows: 5 in decentralized, delegated; 5 in job enlargement; 9 in participative, consultative; and 3 in performance appraisal. Five total scores could not be categorized. Placement in the X column of one score in each of the four areas was made.

The results in percentages are shown on Table 44: 70.97 percent were Y items, 12.92 percent were X items, and 16.13 percent were not categorized.

School district 22 in this study submitted a three item evaluation form. The three areas included were instruction, individual pupil progress, and budget. The areas then included specific results that were goals for achievement and the method to be used to achieve those goals.

None of the areas lent themselves to a categorization of X or Y. Each principal sets his goals for review with the superintendent and progress is measured in the spring of the year. The process itself is Y oriented including goal setting, job enlargement, participative and performance appraisal. This process would have to be developed in more specificity to be categorized in this study beyond this point. It is listed in Appendix C as a Y oriented process.

TABLE 44

ITEM ANALYSIS OF DISTRICT 18 INSTRUMENT

Hypothesis
ThreeSchool District No. 18Total No. of Items 31

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 2 3.23%	(1) Decentralized, Delegated Items - 1, 3, 4, 5, 11 16.13%
(2) Institutionally Controlled Action Items - 2 3.23%	(2) Job Enlargement Items - 1, 4, 5, 12, 13 16.13%
(3) Institutionally Controlled Efforts Items - 2 3.23%	(3) Participative / Consultative Items - 1, 3, 4, 5, 9, 10, 11, 13, 14 29.03%
(4) Institutionally Set Goals Items - 2 3.23%	(4) Performance Appraised Items - 1, 4, 5 9.68%
X TOTAL 12.92%	Y TOTAL 70.97%
(5) Does Not Fit Category Items - 6, 7, 8, 15, 16 16.13%	

School district number 23 in this study submitted an evaluation form that did not lend itself to X-Y categorization. It was a self-evaluation procedure, but presented several problems. The narrative written by the principal was the basis for a review by the superintendent. The superintendent filled out an objective checklist covering administrative responsibilities, instructional leadership, school-community relations, and personal characteristics.

An example of the self-assessment areas was, "My particular problems have been ____." An example of administrative responsibilities on the checklist includes "pupil discipline." These did not lend themselves to categorization. The process is Y oriented, but in its present form it involves heavy centralized organization, an objective checklist, and controlled action. It is categorized in the summary of Hypothesis Three as an X oriented process.

School district number 24 in this study submitted an 82 item evaluation form. Emphasis was placed on communication in order to improve principal performance. It also employed personal evaluation and teaching staff input of administrative performance.

An analysis of the items produced a total placement in the Y column of 36 separate scores as follows: 9 in decentralized, delegated; 11 in job enlargement; 14 in participative, consultative; and 2 in performance appraisal. Six total scores could not be categorized. Placement in the X column of 40 separate scores was as follows: 10 in each of the four areas. The results in percentages are shown on Table 45: 43.9 percent were Y items, 48.8 percent were X items, and 7.32 percent were not categorized.

TABLE 45

ITEM ANALYSIS OF DISTRICT 24 INSTRUMENT

Hypothesis
ThreeSchool District No. 24Total No. of Items 82

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 2, 3, 4, 7, 9, 11, 26, 27, 28, 29 12.2%	(1) Decentralized, Delegated Items - 8, 10, 12, 13, 14, 15, 18, 21, 30 10.98%
(2) Institutionally Controlled Action Items - 2, 3, 4, 7, 9, 11, 26, 27, 28, 29 12.2%	(2) Job Enlargement Items - 1, 6, 8, 12, 13, 15, 16, 17, 18, 21, 30 13.41%
(3) Institutionally Controlled Efforts Items - 2, 3, 4, 7, 9, 11, 26, 27, 28, 29 12.2%	(3) Participative / Consultative Items - 1, 6, 8, 10, 12, 13, 14, 15, 16, 17, 18, 21, 22, 30 17.07%
(4) Institutionally Set Goals Items - 2, 3, 4, 7, 9, 11, 26, 27, 28, 29 12.2%	(4) Performance Appraised Items - 21, 30 2.44%
X TOTAL 48.8%	Y TOTAL 43.90%
(5) Does Not Fit Category Items - 5, 19, 20, 23, 24, 25 7.32%	

School district number 25 in this study submitted a 23 item evaluation form. Emphasis was placed on job progress, behavioral characteristics, and goal setting.

An analysis of the items produced a total placement in the Y column of 35 separate scores as follows: 8 in decentralized, delegated; 9 in job enlargement; 9 in participative, consultative; and 9 in performance appraisal. Two scores were not categorized. Placement in the X column of 16 separate scores was as follows: 4 in each of the four areas. The results in percentages are shown on Table 46: 66.03 percent were Y items, 30.2 percent were X items, and 3.77 percent were not categorized.

School district number 26 in this study submitted a 43 item evaluation form. Emphasis was placed upon professional duties and performance, personal characteristics and public relations.

An analysis of the items produced a total placement in the Y column of 12 separate scores as follows: 4 in decentralized, delegated; 4 in job enlargement; and 4 in participative, consultative. Placement in the X column of 152 separate scores was as follows: 38 in each of the four areas. The results in percentages are shown on Table 47: 7.32 percent were Y items, and 92.68 percent were X items.

TABLE 46

ITEM ANALYSIS OF DISTRICT 25 INSTRUMENT

Hypothesis
ThreeSchool District No. 25Total No. of Items 53

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items 4, 10, 11, 13 7.55%	(1) Decentralized, Delegated Items - 1, 3, 5, 6, 7, 8, 9, 12 15.09%
(2) Institutionally Controlled Action Items 4, 10, 11, 13 7.55%	(2) Job Enlargement Items - 1, 2, 3, 5, 6, 7, 8, 9, 12 16.98%
(3) Institutionally Controlled Efforts Items - 4, 10, 11, 13 7.55%	(3) Participative / Consultative Items - 1, 2, 3, 5, 6, 7, 8, 9, 12 16.98%
(4) Institutionally Set Goals Items - 4, 10, 11, 13 7.55%	(4) Performance Appraised Items - 1, 2, 3, 5, 6, 7, 8, 9, 12 16.98%
X TOTAL 30.20%	Y TOTAL 66.03%
(5) Does Not Fit Category Items - 5, 14 3.77%	

TABLE 47

ITEM ANALYSIS OF DISTRICT 26 INSTRUMENT

Hypothesis
ThreeSchool District No. 26Total No. of Items 164

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - II-1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, III-1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, IV-1a, 2a, 1b, 2b, 1c 23.17%	(1) Decentralized, Delegated Items - II-6, 15, IV-2c, 3c 2.44%
(2) Institutionally Controlled Action Items - II-1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, III-1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, IV-1a, 2a, 1b, 2b, 1c 23.17%	(2) Job Enlargement Items - II-6, 15, IV-2c, 3c 2.44%
(3) Institutionally Controlled Efforts Items - II-1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, III-1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, IV-1a, 2a, 1b, 2b, 1c 23.17%	(3) Participative / Consultative Items - II-6, 15, IV-2c, 3c 2.44%
(4) Institutionally Set Goals Items - II-1, 2, 3, 4, 5, 7, 8, 9, 10, 11, 12, 13, 14, 16, 17, 18, 19, 20, III-1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, IV-1a, 2a, 1b, 2b, 1c 23.17%	(4) Performance Appraised Y TOTAL 7.32%
(5) Does Not Fit Category	
X TOTAL 92.68%	

School district number 27 in this study submitted a 23 item evaluation form. Emphasis was placed on instruction, school plant management, supervision, pupil personnel, parent-community relationship, and administrative relationship.

An analysis of the items produced a total placement in the Y column of 24 separate scores as follows: 5 in decentralized, delegated; 9 in job enlargement; 8 in participative, consultative; and 2 in performance appraisal. Ten scores were not categorized. Placement in the X column of 8 separate scores was as follows: 2 in each of the four areas. The results in percentages are shown on Table 48: 57.14 percent were Y items, 19.04 percent were X items, and 23.81 percent were not categorized.

School district number 28 in this study submitted a 36 item evaluation form. Emphasis was placed upon instructional leadership, student relations, parent and community relations, management, central administration relations, and professional growth.

An analysis of the items produced a total placement in the Y column of 43 separate scores as follows: 4 in decentralized, delegated; 18 in job enlargement; 17 in participative, consultative; and 4 in performance appraisal. One score was not categorized. Placement in the X column of 64 separate scores was as follows: 16 in each of the four areas. The results in percentages are shown on Table 49: 39.81 percent were Y items, 59.24 percent were X items, and .93 percent were not categorized.

TABLE 48

ITEM ANALYSIS OF DISTRICT 27 INSTRUMENT

Hypothesis
ThreeSchool District No. 27Total No. of Items 42

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 11, 17 4.76%	(1) Decentralized, Delegated Items - 2, 3, 7, 10, 22 11.9 %
(2) Institutionally Controlled Action Items - 11, 17 4.76%	(2) Job Enlargement Items - 2, 3, 7, 10, 18, 20, 21, 22, 23 21.43%
(3) Institutionally Controlled Efforts Items - 11, 17 4.76%	(3) Participative / Consultative Items - 2, 3, 10, 18, 20, 21, 22, 23 19.05%
(4) Institutionally Set Goals Items - 11, 17 4.76%	(4) Performance Appraised Items - 8, 9 4.76%
X TOTAL 19.04%	Y TOTAL 57.14%
(5) Does Not Fit Category Items - 1, 4, 5, 6, 12, 13, 14, 15, 16, 19 23.81%	

TABLE 49

ITEM ANALYSIS OF DISTRICT 28 INSTRUMENT

Hypothesis
ThreeSchool District No. 28Total No. of Items 108

X ITEM NO. FROM EVAL. INST.	Y ITEM NO. FROM EVAL. INST.
(1) Centralized Organization Items - 1a, 1b, 1d, 1e, 1f, 1i-1, 1i-2, 1i-3, 2a, 4a, 4b, 4c, 4d, 4e, 4g, 4h 14.81%	(1) Decentralized, Delegated Items - 5a, 5b, 5c, 5d 3.7 %
(2) Institutionally Controlled Action Items - 1a, 1b, 1d, 1e, 1f, 1i-1, 1i-2, 1i-3, 2a, 4a, 4b, 4c, 4d, 4e, 4g, 4h 14.81%	(2) Job Enlargement Items - 1g, 2b, 2c, 2d, 2e, 2f, 3a, 3b, 3d, 3e, 4f, 4i, 5a, 5b, 5c, 5d, 6b, 6c 16.67%
(3) Institutionally Controlled Efforts Items - 1a, 1b, 1d, 1e, 1f, 1i-1, 1i-2, 1i-3, 2a, 4a, 4b, 4c, 4d, 4e, 4g, 4h 14.81%	(3) Participative / Consultative Items - 1c, 2b, 2c, 2d, 2e, 2f, 3a, 3b, 3d, 3e, 4f, 4i, 5a, 5b, 5c, 5d, 6c 15.74%
(4) Institutionally Set Goals Items - 1a, 1b, 1d, 1e, 1f, 1i-1, 1i-2, 1i-3, 2a, 4a, 4b, 4c, 4d, 4e, 4g, 4h 14.81%	(4) Performance Appraised Items - 4f, 4i, 5b, 5c, 5d 3.7 %
X TOTAL 59.24%	Y TOTAL 39.81%
(5) Does Not Fit Category Items - 1h .93%	

Summary of Hypothesis Three

The tally sheet used to record each district's instrument as to X or Y analysis had four categories. In the centralized-decentralized classification a total of 157 was calculated in the X category while 120 was calculated in the Y category. An average of the X items was 12 to 9 for the Y items, with a range of 0 to 25 and 0 to 20 respectively. These results are in contrast to the interview perceptions of superintendents which stated that responsibility is given to principals at appropriate administrative levels and included little active intervention or direction of principals' efforts by the superintendents.

The perceptions of the superintendents are supported by the literature. Morphet encourages the sharing of decision-making and responsibility as a prerequisite for decentralization. The Florida Study encourages group decision-making and points to evaluation as being a group responsibility. Strauss noted that there was a strong positive correlation between strong work groups and decentralization. Argyris encouraged management to adopt the view that man is self-directing and therefore had to be given responsibility within the broad framework of organizational goals.

The analysis of institutionally controlled action (X) classification totalled 160.4 while the job enlargement classification (Y) totalled 161.25. An average of the X items was 12.34 to 12.4 for the Y items, with a range of 0 to 23.89 and 0 to 21.43 respectively.

McGregor stated that each position should have limits of authority with day to day direction and control within the limits of that position. Job requirements are also dynamic with each position matched to the individual with participation offering substantial opportunities for ego satisfaction and motivation toward organizational objectives.

Job enlargement includes: (1) a person receiving satisfaction from tackling problems and finding successful solutions; (2) a sense of independence in achieving control over one's destiny; and (3) recognition from peers.

The perceptions of the superintendent that principals had opportunity for job enlargement are proven in the analysis of the responses. The institutional control, prevalent in X theories, is rejected. The perceptions of the superintendents are shared by the Y theorists in the literature. Strauss noted that job enlargement requires general supervision and decentralization to allow individuals to grow and achieve. Gibbs, in describing the non-authoritarian organization, listed the need to allow the individual to set his own goals, to initiate his own activities, and to make his own choices. Halpin stressed the need to allow individuals to grow and develop. Herzberg valued individual achievement, recognition, and enrichment over extrinsic company policy and a common satisfaction.

Thus, the superintendents' perception that principals were encouraged to find successful solutions to problems, giving principals independence, and recognition, is consistent with the goal of providing self-fulfillment for the principal.

An analysis of the institutionally controlled efforts classification (X) totalled 160.4 while the participative/consultative classification (Y) totalled 177. An average of the X items was 12.3 and 13.6 for the Y items, with a range of 0 to 23.89 and 0 to 29.03, respectively.

McGregor's Y theory states that managerial climate encourages commitment and opportunities where the superintendent has confidence and practices effective delegation, giving opportunities to help develop principals' capabilities. A Y-oriented principal must exercise self-direction and self-control if he is committed to the organization's objectives.

Districts must have a development program, the goal being to develop the unique capabilities and potentialities of each individual. The effective working group includes discussion in which everyone participates, tasks are understood and accepted by its members, decisions are based upon consensus and leadership is shifted from the superintendent at certain times.

Superintendents perceived a unity of purpose in the developmental process of principals and the achievement of district goals. When principals were participative/consultative individuals, their capabilities and potentialities were in concert with district goals. Achievement of both individual as well as district goals was complimentary.

The analysis of institutionally set goals (X) totalled 194 while the performance appraisal classification (Y) totalled 187. An average of the X items was 14.9 to 14.4 for the Y items, with a range of 0 to 32.5 and 0 to 77, respectively.

McGregor's strategy of integration includes specific targets, time periods and self-appraisal of results, tasks and supervision recognition and criticism, correction of mistakes and resolution of difficulties. There also has to be a periodic summary of the quantity and quality of work and attitude of the principal. This summary is based on objective data, time and service within the organization, and the individual's merit and group rewards.

The total of the X item percentages was 607 while the total of the Y items was 582, a difference of 25. In contrast, the superintendents' interview perceptions resulted in 127 X responses to 1005 Y responses. While the superintendents perceive principals highly in conformance with McGregor's Y approach, the measurement of evaluation instrument items did not. Ten districts in this study did not have evaluation instruments in addition to the districts whose

instruments were analyzed in hypothesis three. These factors when combined show an apparent distance between perceptions of superintendents and developed evaluation instrumentation.

Ongoing performance appraisal is essential in a democratic organization. Evaluation of progress toward goals must be a group process based on a clear knowledge of individual responsibility. A clear statement of one's responsibility, followed by evaluation, is the basic component of accountability.

Thus the third hypothesis is accepted based upon the findings.

To summarize the district instrument classification, the following are presented:

(1) Instruments not analyzed:

District 2
District 8

(2) Instruments analyzed for process:

District 12 - Y oriented
District 22 - Y oriented
District 23 - X oriented

(3) Percentage distribution of district instrument classification:

<u>District No.</u>	<u>% of X Items</u>	<u>% of Y Items</u>	<u>% Not Categorized</u>
1	32.5	61.2	5.5
4	-	77.0	23.0
5	100.0	-	-
10	22.8	72.4	4.7
14	95.6	-	4.4
15	53.0	36.7	10.2
17	30.0	50.0	20.0
18	12.9	71.0	16.1
24	48.8	43.9	7.3
25	30.2	66.0	3.8
26	92.8	7.1	-
27	19.0	57.1	23.8
28	59.2	39.8	.9
Average	47.0	44.8	9.2

Hypothesis Four

Superintendents perceive junior high school principals as having (Y) a part in the decision-making process within their school district rather than (X) management modifying the principal's behavior to the needs of the organization.

Question 13 and its related questions attempt to establish a relationship between the behavior of junior high principals and the needs of the district as established and directed by the superintendent or central administration. The purpose was to ascertain to what degree the behavior of principals is modified, changed, or sublimated to achieve congruence with central administration. The expectation was that in a democratic framework of decision-making, the degree of association would be less than in an autocratic decision-making environment. Thus, on a twenty point rating scale the ratings should fall in the lower numerical points on the scale if the decision-making process is democratic and in the higher numerical points on the scale if the decision-making process is autocratic.

Question 14 and its related questions attempt to assess the roles of superintendent and principal in the making of decisions and the actual implementation and carrying out of the decision. Thus, on a twenty point scale, the ratings would be most frequent in the lower numerical points showing "quite a bit" or "much" involvement perception by superintendents.

TABLE 50

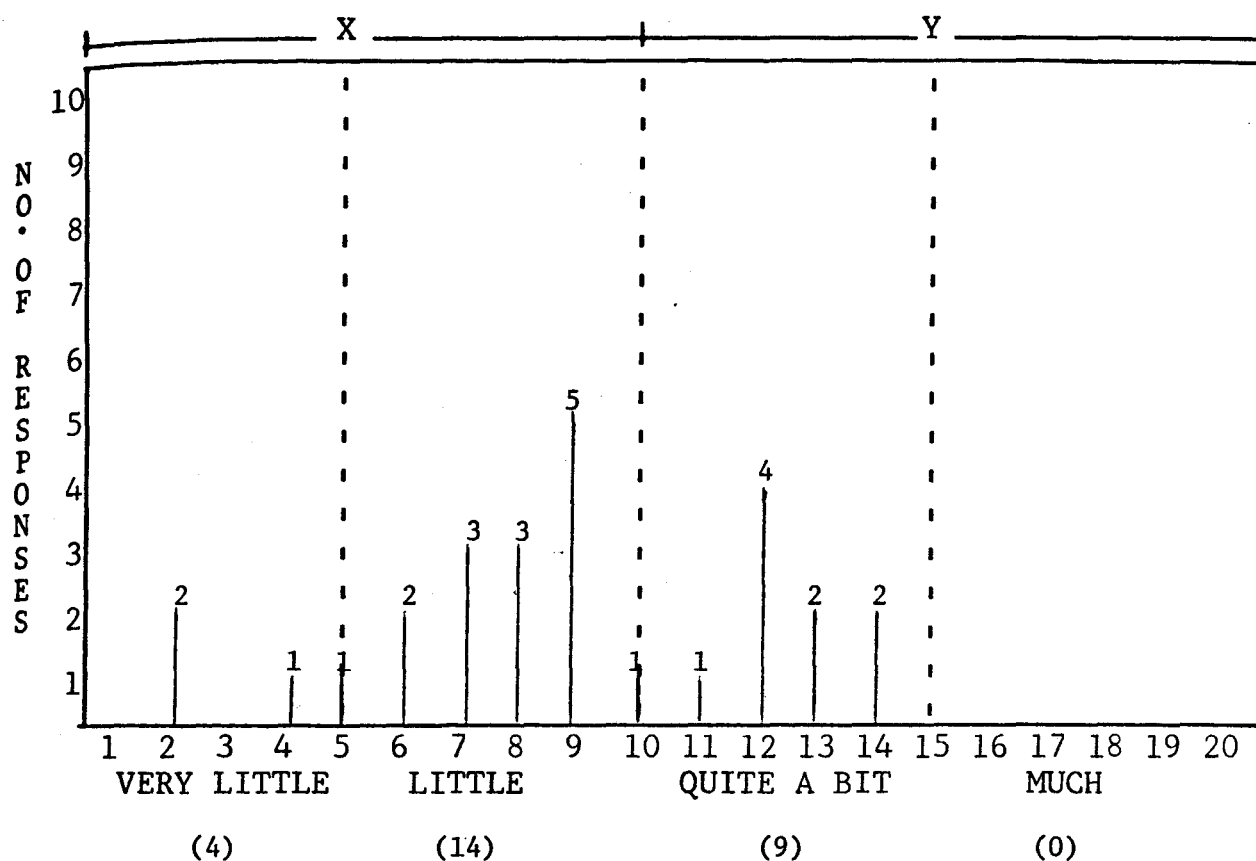
SUMMARY OF QUESTION 13 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
13. Having his behavior modified to fit the needs of the district				
a. Having the superintendent or central administration direct the principal's efforts				
b. Having a significant extent of active intervention by the superintendent or central administration				
c. Having a significant extent of coordination of efforts of the principal by the central administration				
d. Having a significant extent of control based on authority or power of the superintendent (example - hire/fire)				

TABLE 51

SUMMARY OF RESPONSES TO QUESTION 13



18 9

Question No. 13: In assessing the junior high principal, to what extent do you view principals as: Having his Behavior Modified to Fit the Needs of the District.

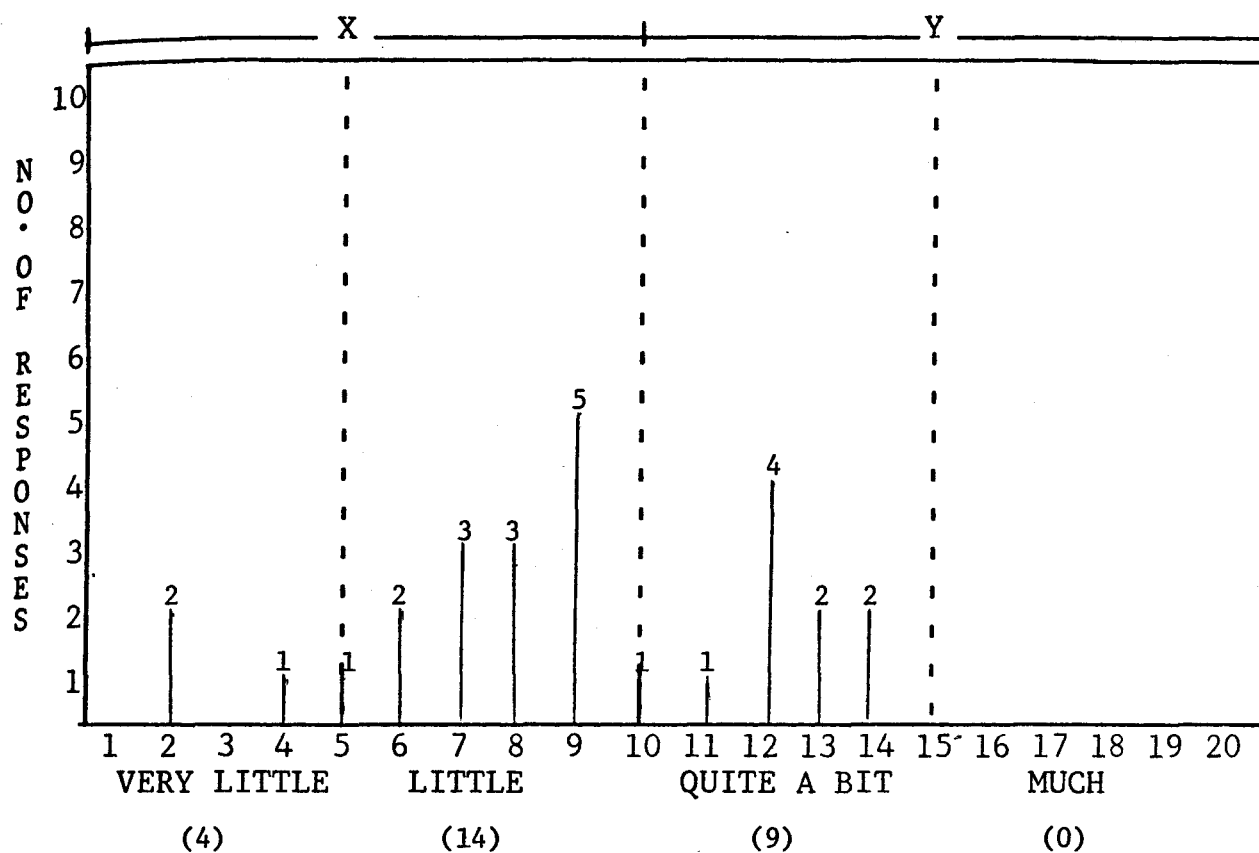
Question 13 asks the superintendent to assess the extent to which the behavior of principals is modified to fit the needs of the district. The responses show that in most cases the superintendent perceives little behavior modification on the part of principals to fit district needs. In a democratic decision-making process, the expectation is that support would be elicited with all persons affected by a decision given the opportunity to have input in the process before its enunciation and thereby the subsequent behavior of principals

TABLE 51, Continued

would be in congruence with district needs. The responses show that the superintendent perceives principal behavior to be congruent to district needs. Eighteen of the responses were in the ten or below range. Median response was 9.30.

TABLE 52

SUMMARY OF RESPONSES TO QUESTION 13A



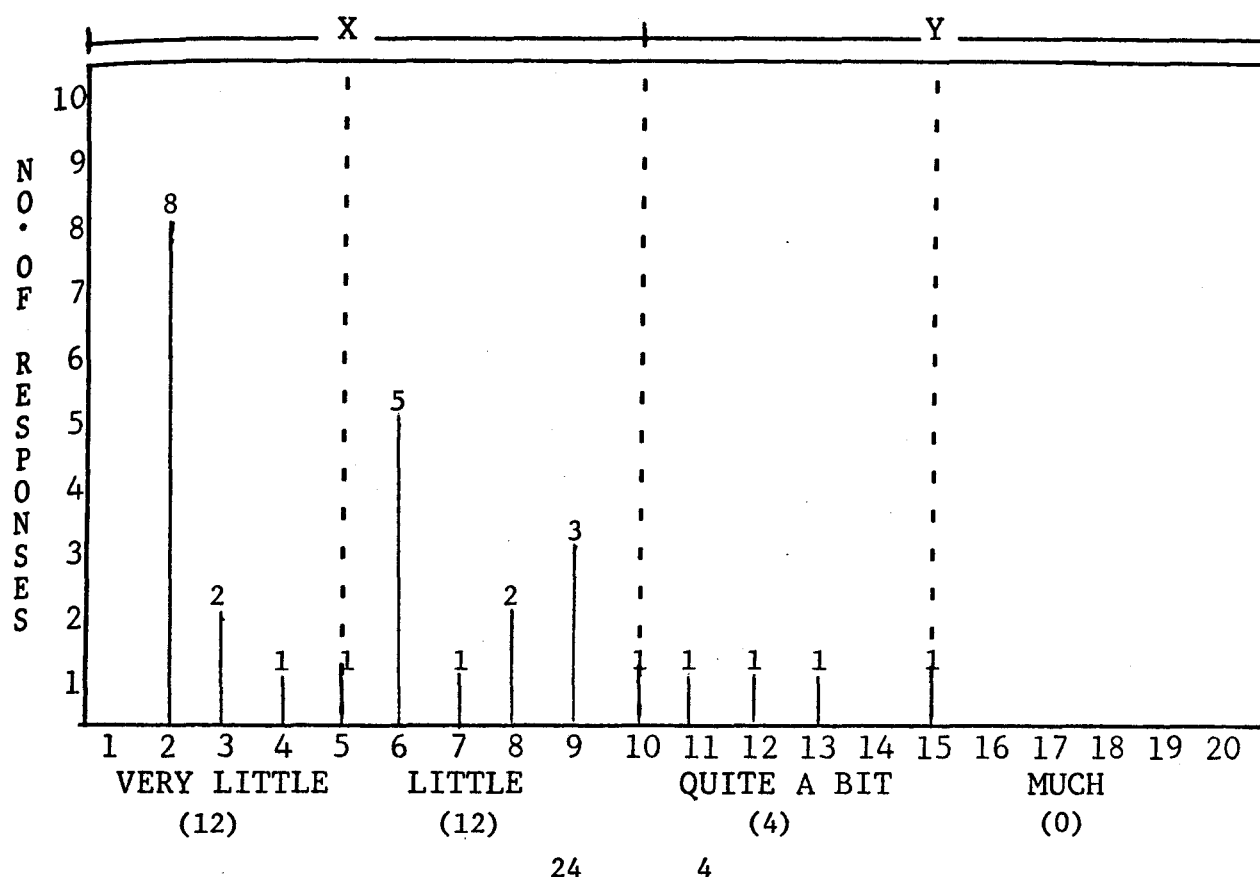
18 9

Question No. 13A: In assessing the junior high principal, to what extent do you view principals as: Having the Superintendent or Central Administration Direct the Principal's Efforts.

Question 13A asks the superintendent to assess the extent to which the efforts of principals are directed by the superintendent or central administration. The responses show that superintendents, by a two to one majority, perceive the efforts of principals as not directed by the superintendent or central administration. Eighteen of the responses were in the ten or below range. The median response was 9.3.

TABLE 53

SUMMARY OF RESPONSES TO QUESTION 13B

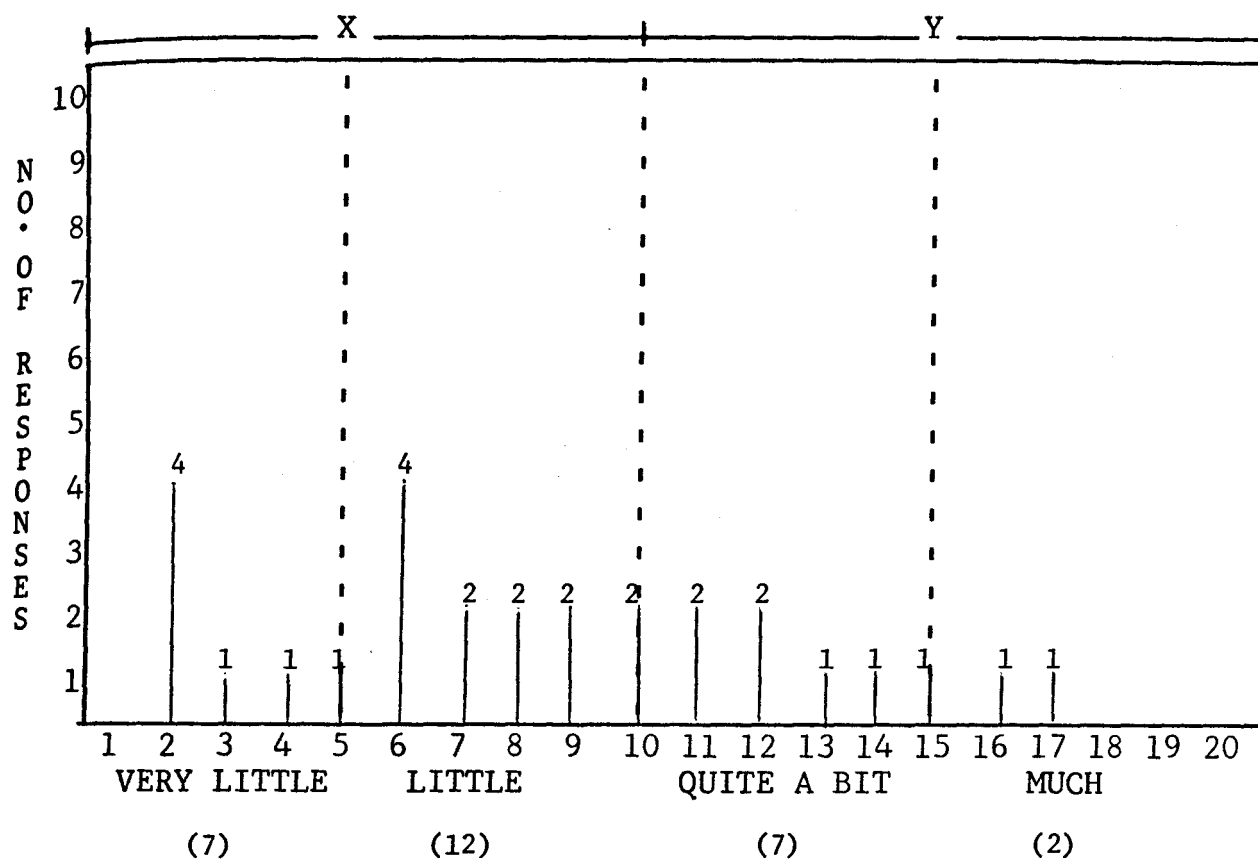


Question 13B: In assessing the junior high principal, to what extent do you view principals as: Having a Significant Extent of Active Intervention by the Superintendent or Central Administration.

Question 13B asks the superintendent to assess the extent to which principals view the superintendent and central administration having a significant amount of intervention in the activity of the principal. A low frequency of intervention would mean that the superintendent or central administration allows the principal to make on-the-job decisions and that the principal is relied on to a considerable extent. A high frequency of intervention would suggest the opposite. The responses show that superintendents perceive principals as having a high degree of autonomy with little intervention by the superintendent and central administration. Twenty-four of the responses were in the ten or below range. The median response was 6.4.

TABLE 54

SUMMARY OF RESPONSES TO QUESTION 13C



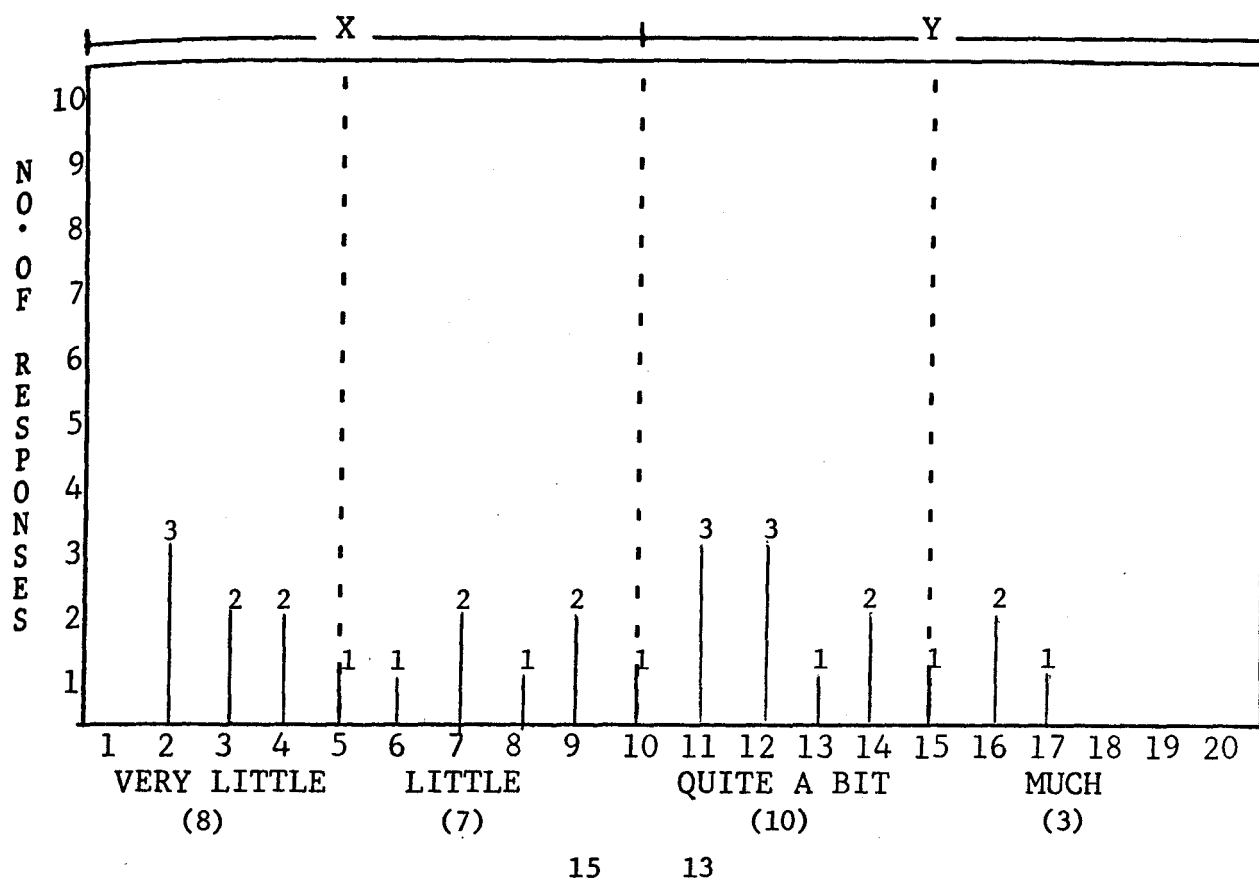
19 9

Question No. 13C: In assessing the junior high principal, to what extent do you view principals as: Having a Significant Extent of Coordination.

Question 13C asks the superintendent to assess to what extent the principals have a significant amount of coordination over him, exerted by his superior. Nineteen of the responses show that superintendents perceive the principals as having very little or little amount of coordination. The median response was 8.5.

TABLE 55

SUMMARY OF RESPONSES TO QUESTION 13D



Question No. 13D: In assessing the junior high principal, to what extent do you view principals as: Having a Significant Extent of Control Based on Authority or Power of the Superintendent. (Example: Hire/Fire).

Question 13D asks the superintendent to assess to what extent does he view the principals being controlled by the superintendent based on the authority or power of the superintendent. In a democratic environment, power is shared rather than being concentrated in one person or office. The responses show that there is an almost equal distribution of the focus of power, with fifteen superintendents rating principals in the range of ten or below and thirteen instances in the eleven or above range. The median response was 10.

TABLE 56

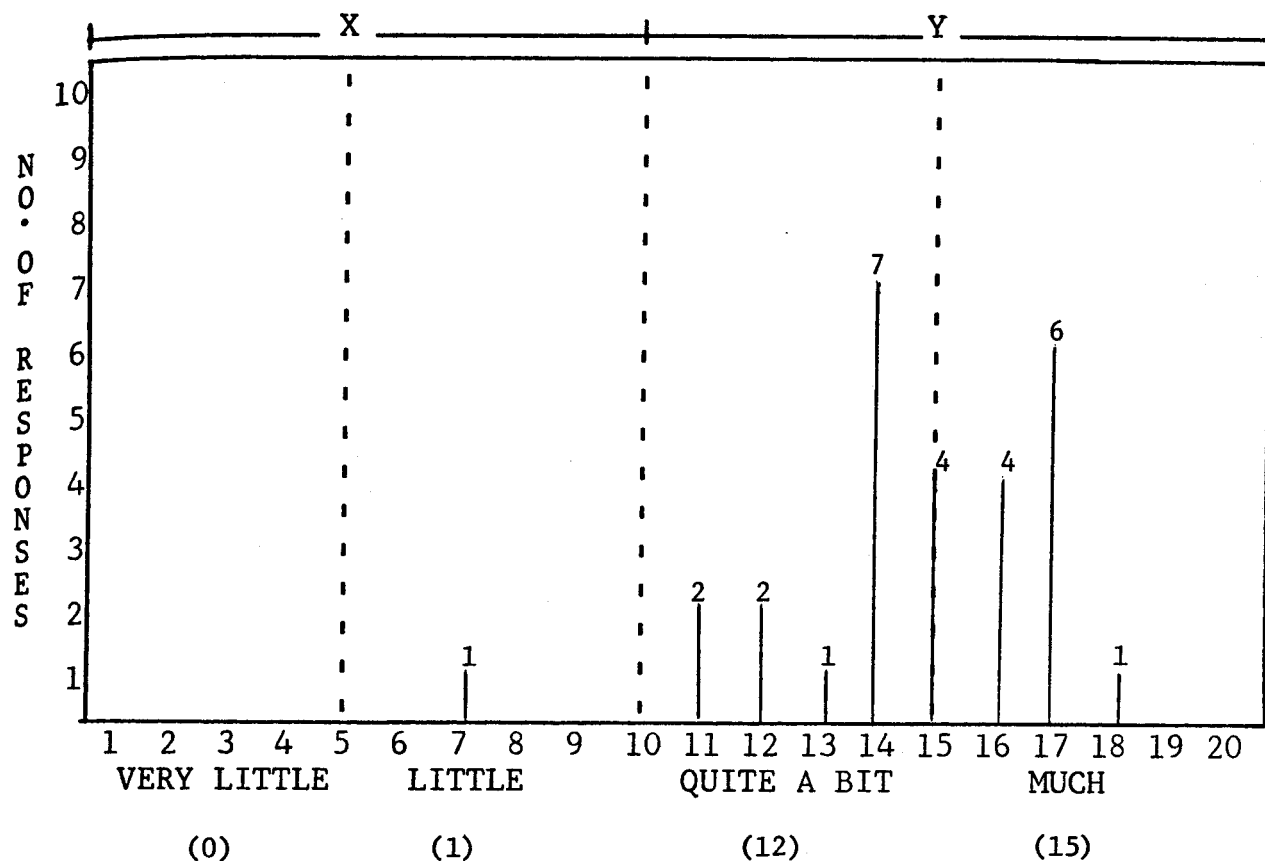
SUMMARY OF QUESTION 14 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
14. Having a part in the decision making process.				
a. having a voice in decisions that affect him				
b. having expectations that are directly communicated to him				
c. playing a major role in planning objectives				
d. having responsibility delegated to him (directs his own activities and efforts)				
e. having a part in organizing the elements of the organizational enterprise				
f. directing his creative energies toward organizational objectives				
g. having authority that would be viewed as a lowering of standards				

TABLE 57

SUMMARY OF RESPONSES TO QUESTION 14



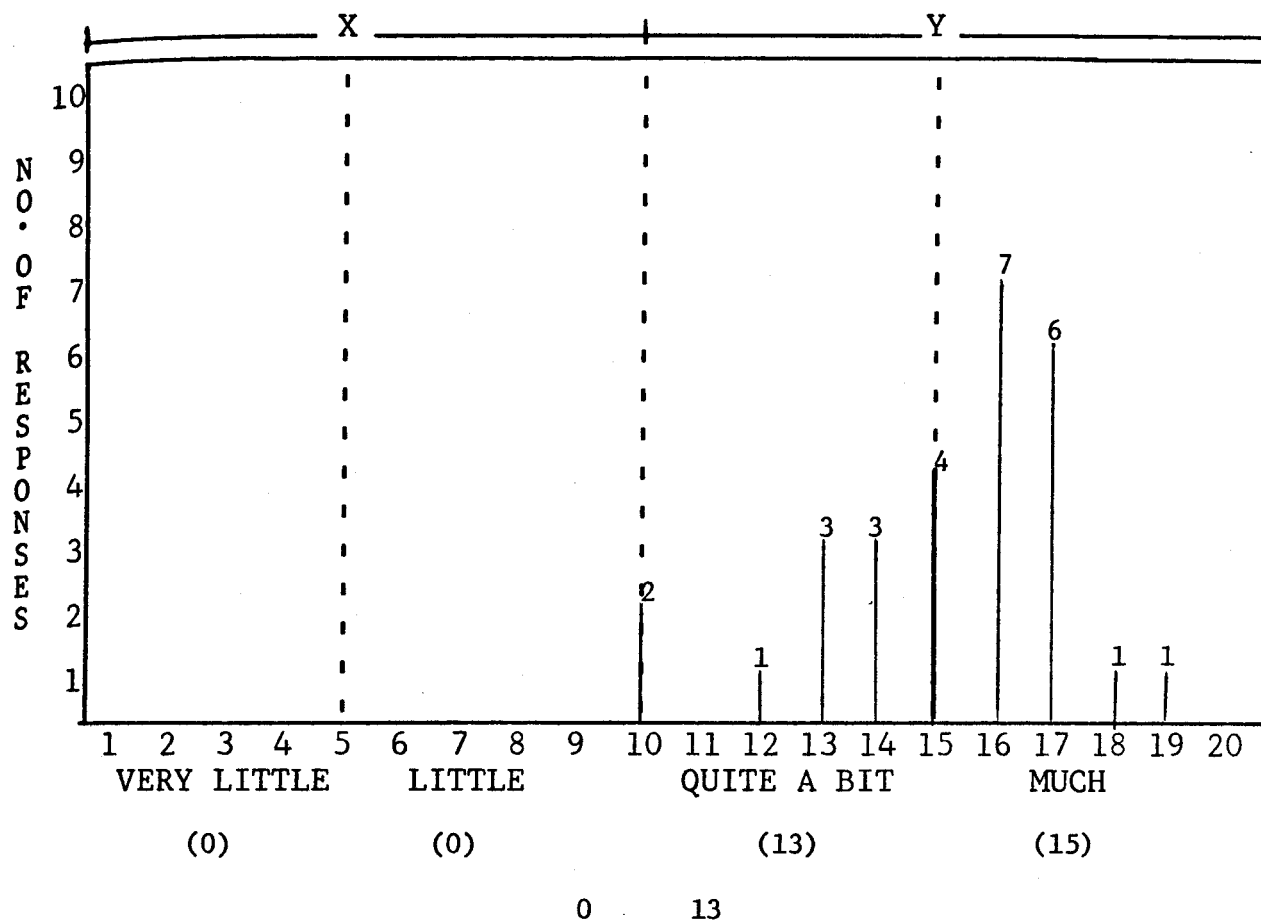
1 27

Question No. 14: In assessing the junior high principal, to what extent do you view principals as: Having a Part in the Decision Making Process.

Question 14 asks the superintendent to assess the extent of involvement that principals have in the decision making process. The responses show that most superintendents perceive principals as having a part in the decision making process. All but one response rated principals' participation eleven or above. The median response was 15.25.

TABLE 58

SUMMARY OF RESPONSES TO QUESTION 14A

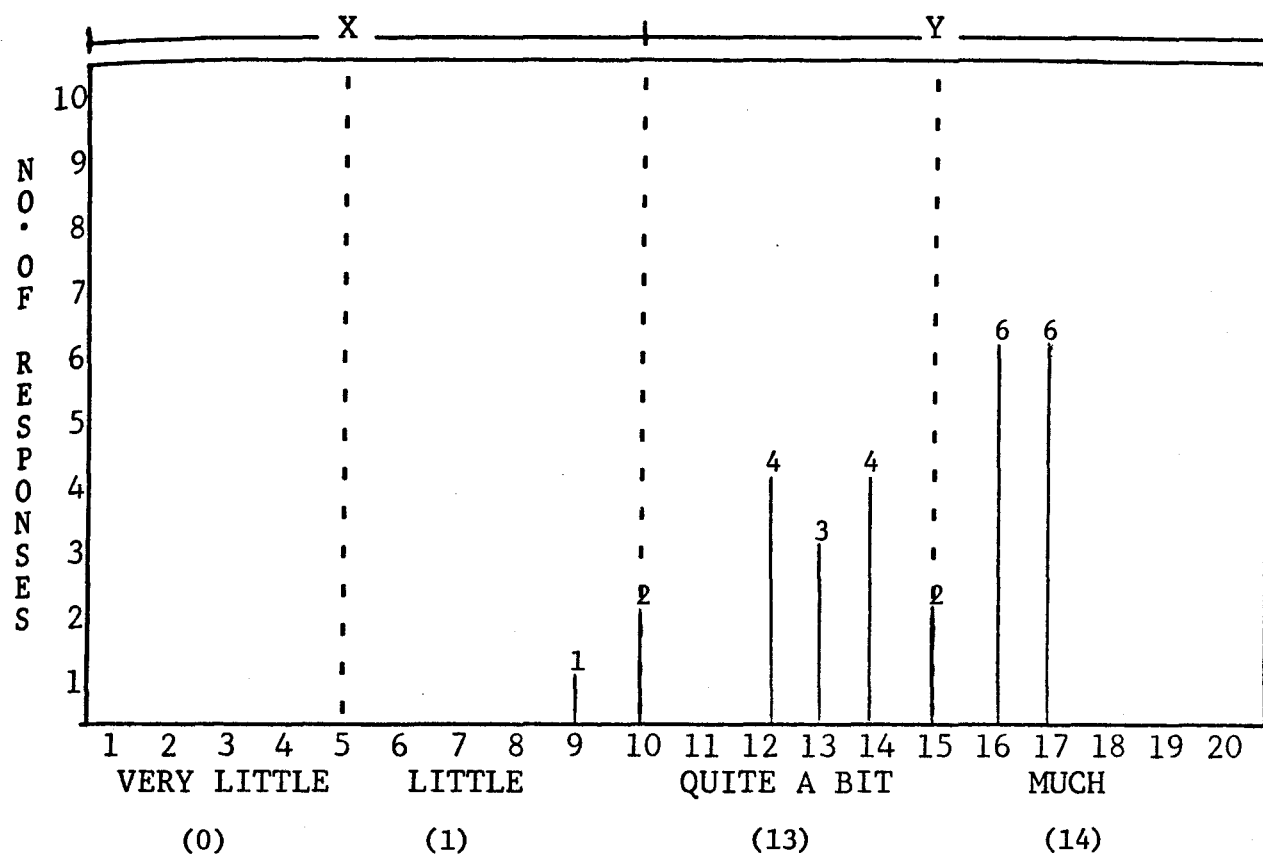


Question No. 14A: In assessing the junior high principal, to what extent do you view principals as: Having a Voice in Decisions that Affect Him.

Question 14A asks the superintendent to assess the extent to which principals have a voice in decisions that affect the principal. The responses show a high degree of involvement by principals in those decisions that affect the principal. All responses rated principals ten or above as having a voice in decisions affecting him. The median rating was 16.14.

TABLE 59

SUMMARY OF RESPONSES TO QUESTION 14B



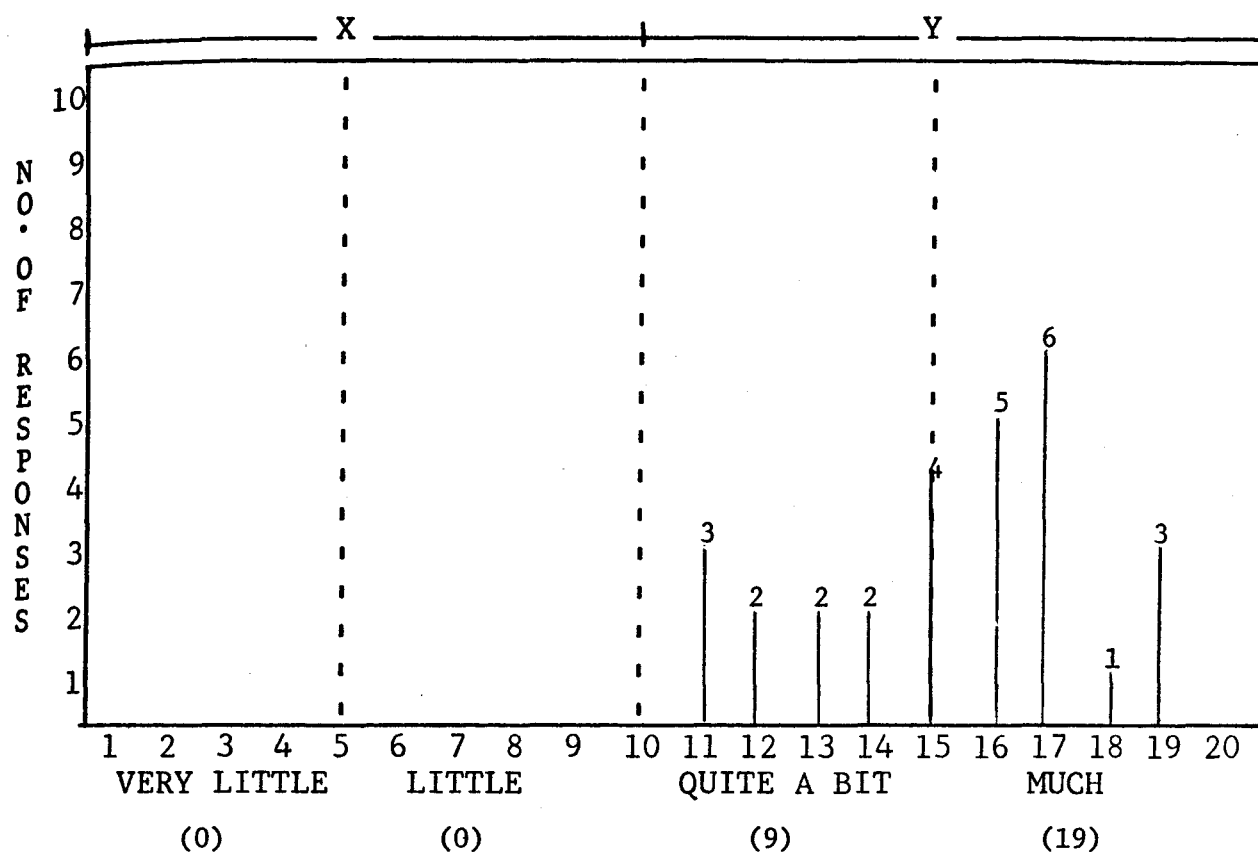
1 27

Question No. 14B: In assessing the junior high principal, to what extent do you view principals as: Having the Superintendent's Expectations Directly Communicated to Him.

Question 14B asks the superintendent to assess the extent to which expectations of the superintendent are directly communicated to the principal. All but one of the responses show a rating of ten or above on a twenty point scale. The median response was 15.

TABLE 60

SUMMARY OF RESPONSES TO QUESTION 14C.



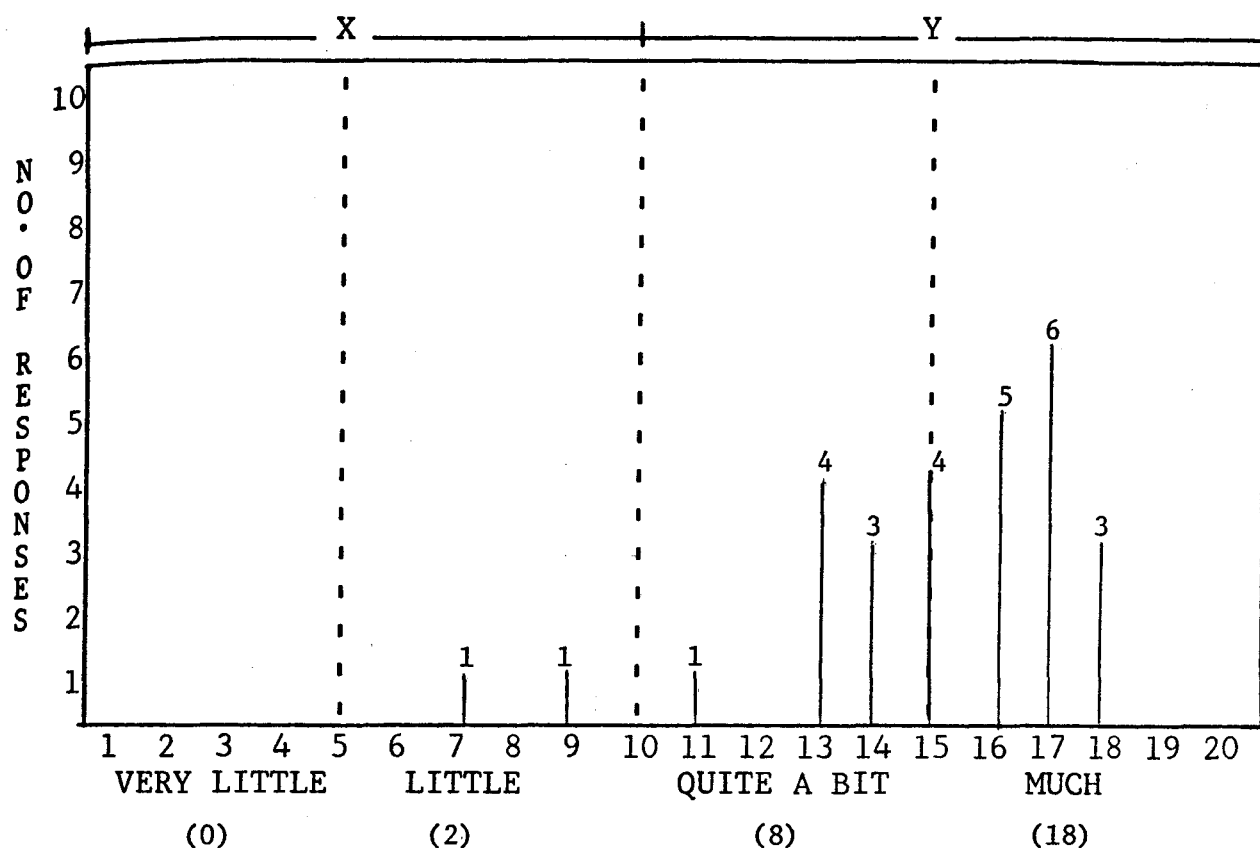
0 28

Question No. 14C: In assessing the junior high principal, to what extent do you view principals as: Playing a Major Role in Planning Objectives.

Question 14C asks the superintendent to assess the extent to which principals are involved in planning objectives. Two responses show a high degree of involvement with all responses in the eleven or above range on a twenty point scale. The median response was 16.20.

TABLE 61

SUMMARY OF RESPONSES TO QUESTION 14D



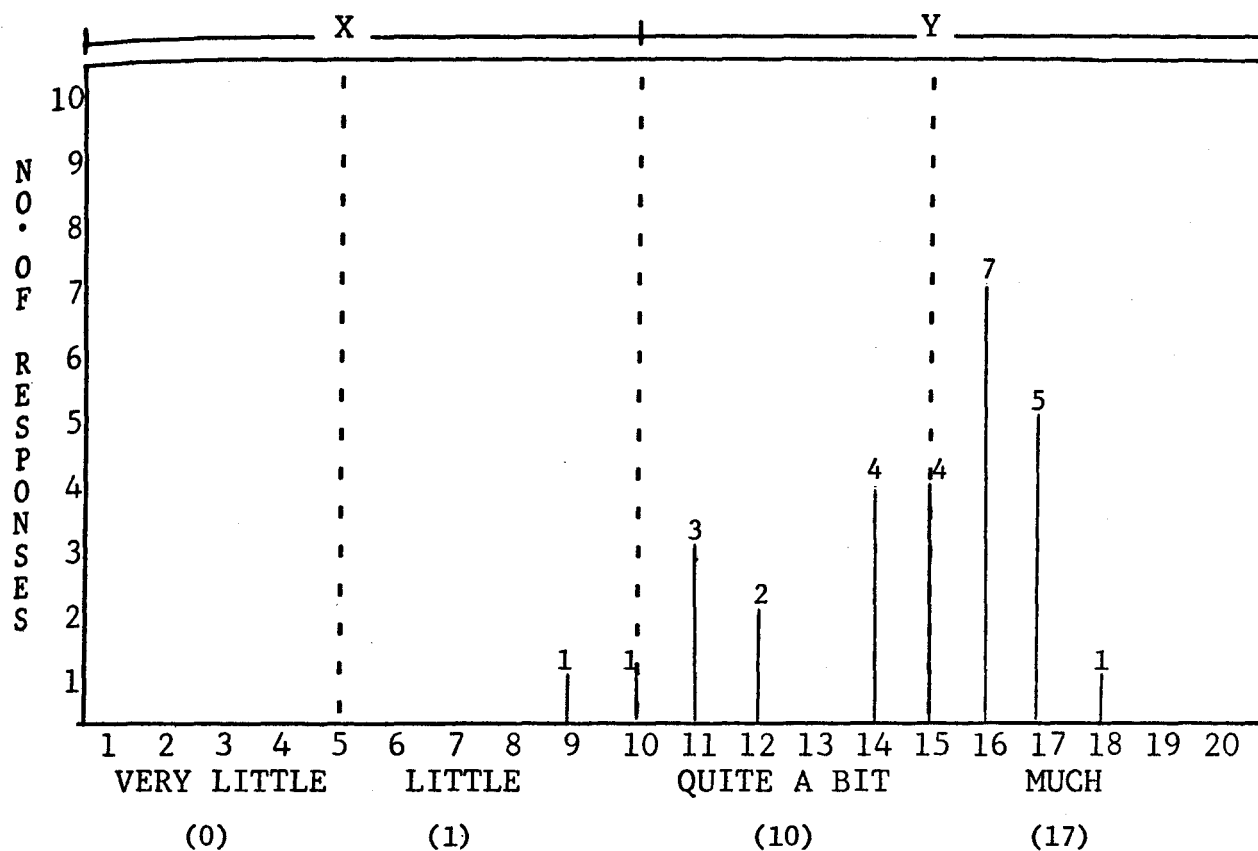
2 26

Question No. 14D: In assessing the junior high principal, to what extent do you view principals as: Having Responsibility Delegated to Him. (Directs his own activities and efforts).

Question 14D asks the superintendent to assess the extent to which he perceives principals having delegated responsibility. All but two of the responses rated principals having a high degree of responsibility delegated to him to conduct his own activities and direct his efforts to achieve goals. All but two of the responses were in the eleven or above range. The median was 16.

TABLE 62

SUMMARY OF RESPONSES TO QUESTION 14E



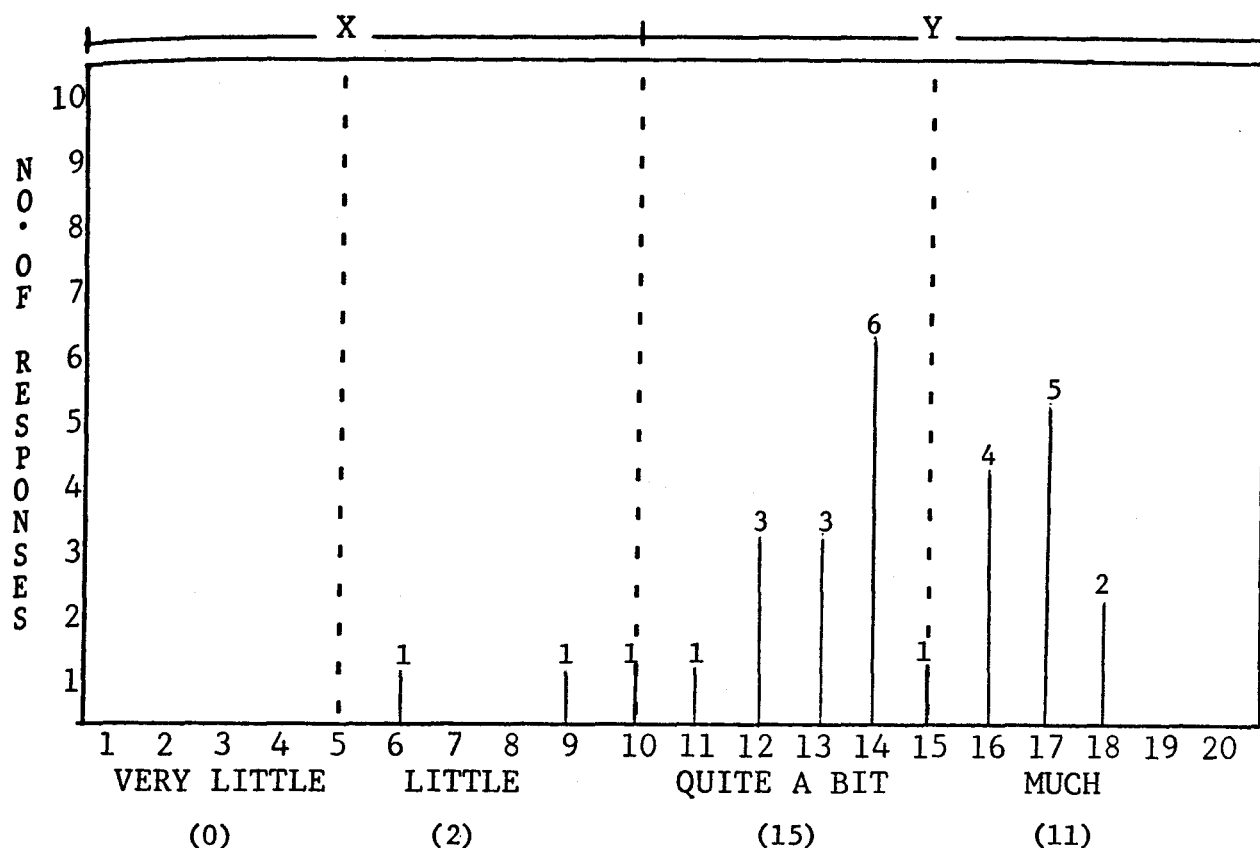
1 27

Question No. 14E: In assessing the junior high principal, to what extent do you view principals as: Having a Part in Organizing the Elements of the Educational Enterprise.

Question 14E asks the superintendent to assess the extent to which principals are involved in organizing elements of the educational enterprise. The responses show a high degree of involvement by principals. All but one of the responses were in the ten or above range. The median response was 15.75.

TABLE 63

SUMMARY OF RESPONSES TO QUESTION 14F



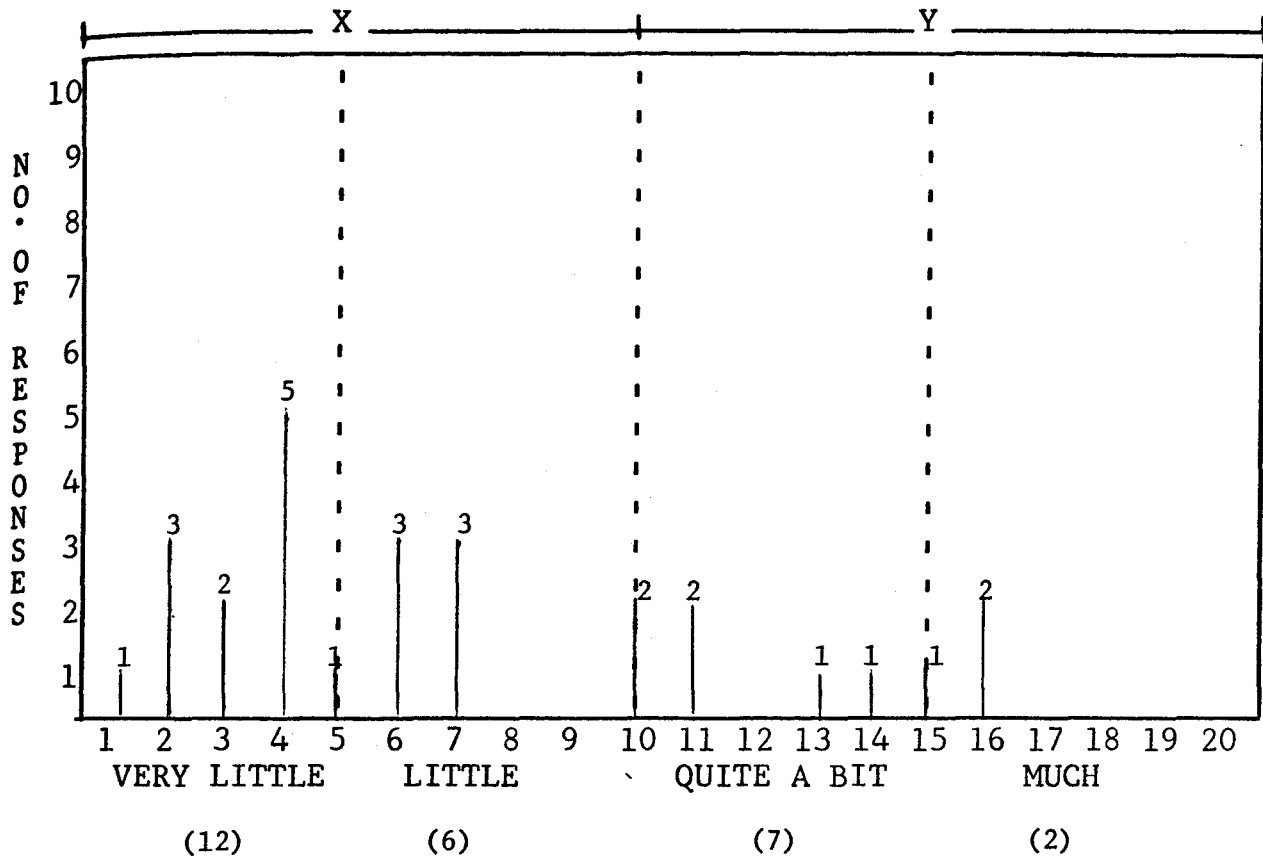
2 26

Question No. 14F: In assessing the junior high principal, to what extent do you view principals as: Directing his Creative Energies Toward Organizational Objectives.

Question 14F asks the superintendent to assess the extent to which principals direct their creative energies toward organizational objectives. The responses show that superintendents perceive principals as directing a considerable amount of their creative energies toward organizational objectives. All but two responses rated principals ten or above on a twenty point scale. The median response was 14.67.

TABLE 64

SUMMARY OF RESPONSES TO QUESTION 14G



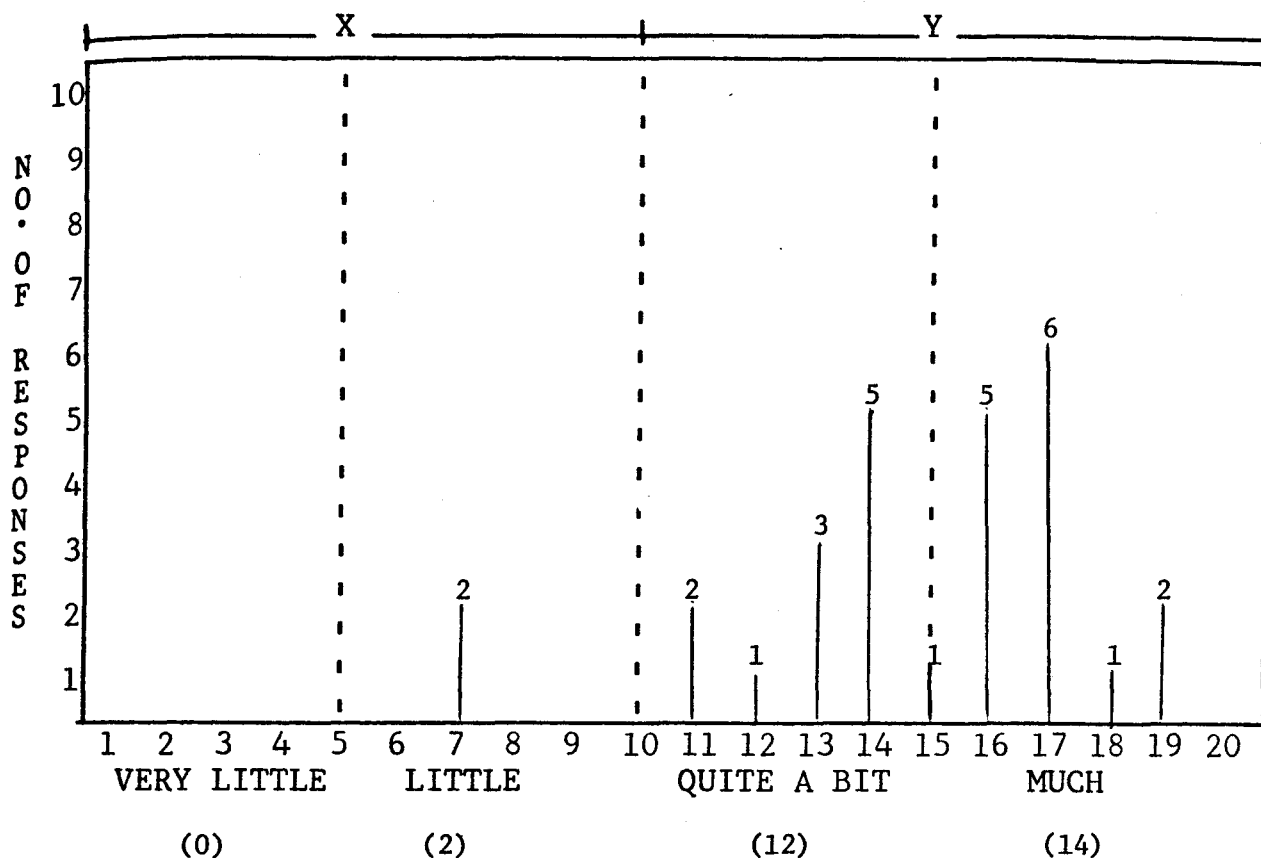
18 9

Question No. 14G: In assessing the junior high principal, to what extent do you view principals as: Having Authority that would be Viewed as a Lowering of Standards.

Question 14G asks the superintendent to assess to what extent principals have authority that would be viewed as lowering of standards. The responses show that superintendents do not perceive that principals having authority as a lowering of standards. Eighteen of the twenty-seven responses gave a rating of seven or less on a twenty point scale. The median rating was 6.5.

TABLE 65

SUMMARY OF RESPONSES TO QUESTION 14H



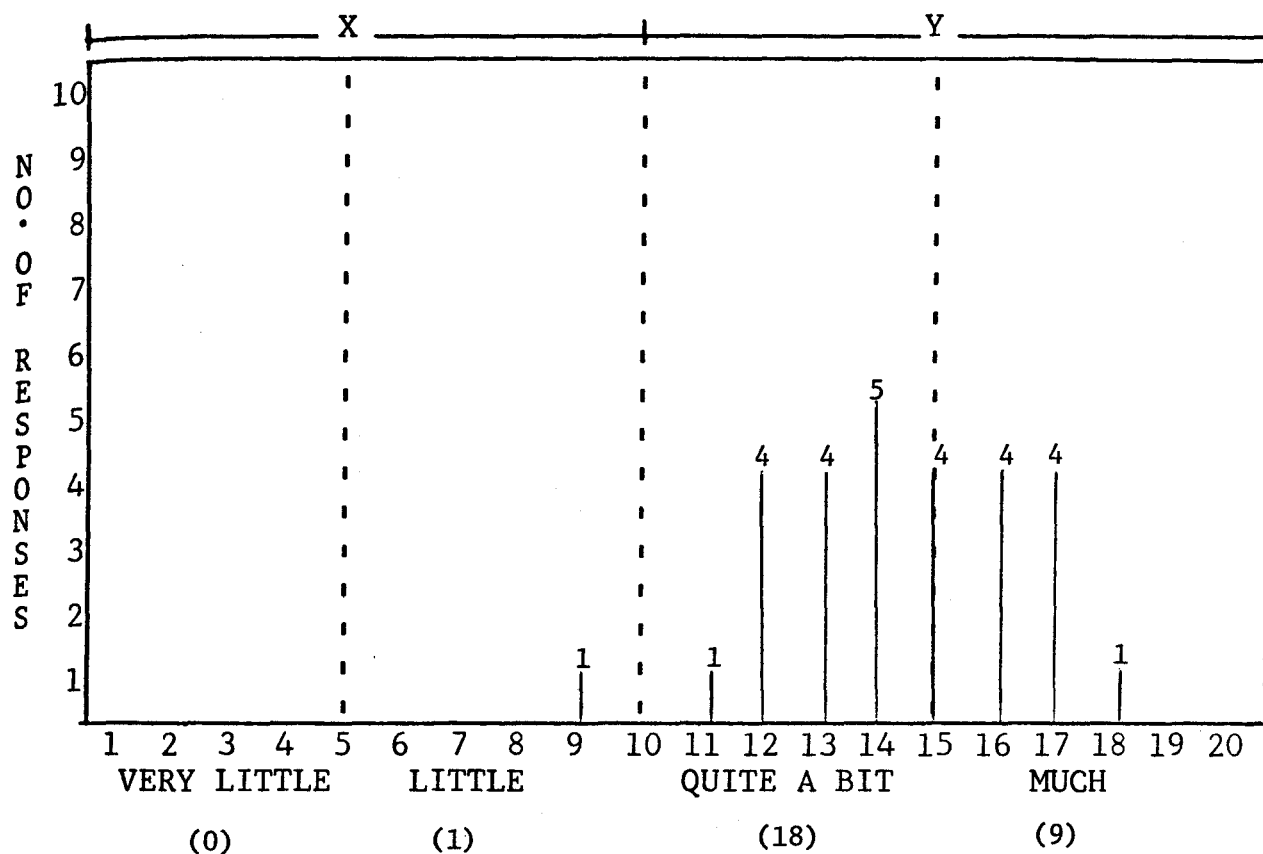
2 26

Question No. 14H: In assessing the junior high principal, to what extent do you view principals as: Working in a System that Provides for Decentralization and Delegation of Authority.

Question 14H asks the superintendent to assess to what extent principals view themselves working in a system that provided decentralization and delegation of authority. The responses show that most superintendents perceived that principals viewed themselves as working in a system that provided decentralization and delegation of authority. Twenty-six responses rated principals' perception eleven or above. The median response was 16.

TABLE 66

SUMMARY OF RESPONSES TO QUESTION 14I



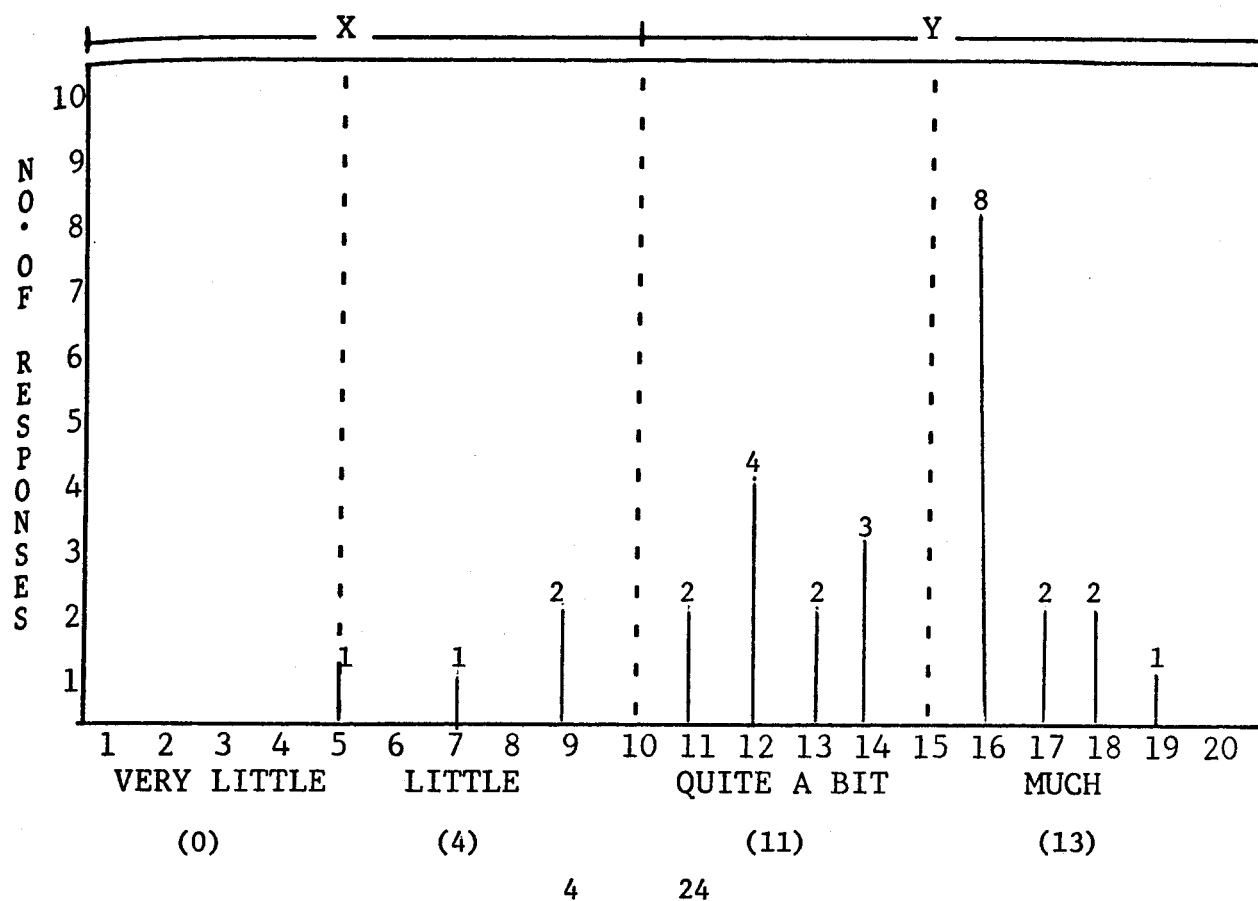
1 27

Question No. 14I: In assessing the junior high principal, to what extent do you view principals as: Having Emphasis on Priorities.

Question 14I asks the superintendent to assess to what extent he views principals having emphasis on priorities. The responses show that superintendents perceive principals having priorities and emphasis on these priorities. All but one of the responses rated principals eleven or above on emphasis on priorities. The median response was 14.8.

TABLE 67

SUMMARY OF RESPONSES TO QUESTION 14J



Question No. 14J: In assessing the junior high principal, to what extent do you view principals as: Receiving Rewards for Achievement of Good Results.

Question 14J asks the superintendent to assess to what extent he views principals receiving rewards for achievement of good results. The responses show that superintendents perceive principals receiving rewards for achievement. Rewards may be both tangible and intangible, but the fact that rewards are received shows a reinforcement for principals. All but four of the responses rated principals eleven or above. The median response was 14.67.

Summary of Hypothesis Four

Theory X is by directive and control, with little or no consideration for human potential and motivation. Management structure includes control, coercion and persuasion to get workers to put forth effort toward the achievement of the organizational objectives.

The responses to the items in Question 13 and sub-items contained 44 negative perceptions out of 138 responses as shown on Table 56. The average of the corresponding medians was 8.7 with a range of 6.4 to 10.0.

Responses between 1-10 supported Theory Y. Principals were viewed by superintendents as not having their behavior modified to fit the district's objectives. Three areas were included in the sub-items including: direction of the efforts of principals, active intervention by the superintendent, and a high degree of coordination of the principals' efforts by the superintendent. Principals were not viewed as being threatened by the superintendents' control in removal from his position.

In addition, Question 14 had 23 negative responses out of 307. The average of the medians was 14.63, with a range of 6.5 to 16.2. The responses between 10-20 are also supportive of Theory Y concepts. Principals were perceived as having a part in the school district decision-making process which included decisions affecting the principalship. McGregor's principle of integration demands an active rather than a passive role for the individual principal.

The authoritarian management model, described by Theory X, is characterized by institutional directive and control. It coerces and persuades individuals to achieve organizational goals under a threat relationship. It had long been assumed that under this management model, optimum efficiency would be

achieved because the leaders at the helm could make quick decisions. Participation by subordinates in decision-making, delegation of authority, and the dispersing of responsibility were denied on the basis that the efficiency of the organization would be impaired. The prime requisites in this model was a leader who had infinite wisdom and timing to make all the right decisions; and a follower who subjugated personal needs completely, executed precisely all organizational directions, and accepted his subservience to the organization.

An analysis of the responses to the items in Question 13 clearly refutes the existence of such an authoritarian model in the sample of this study. Participation is not an abdication of power, it does not lower efficiency, it encourages subordinates to grow, and it increases their ability to assume responsibility. Delegation of responsibility enabled the principals to direct their creative energies toward organizational objectives, achieve unity of purpose with the organization, and provide an opportunity for self-fulfillment.

Superintendents in this study did perceive junior high school principals as having a part in district educational decision-making with little modification of his behavior in order to conform to district norms.

Thus, the fourth hypothesis is accepted based upon the findings.

Hypothesis Five

Superintendents participating in the interview perceive their own involvement in evaluating junior high school principals more frequently as democratic (Y) rather than autocratic (X).

Question 15 and its accompanying questions attempt to determine whether the evaluation of principals utilizes democratic processes. It attempts to ascertain that evaluation as well as performance of principals is accomplished in a democratic manner, rather than autocratic. It is of utmost importance that the method of evaluation be congruent to performance. If a principal is evaluated in an autocratic manner, then he is more likely to perform autocratically because the evaluation and the method in which it is conducted is perceived as vital by the principal. The superintendents in the sample were asked for their perception of the evaluation process as being either democratic or not. A rating of ten or above on the twenty point scale would indicate that superintendents perceived the evaluation process as democratic.

TABLE 68

SUMMARY OF QUESTION 15 SHOWING MEDIAN SCORES OF RESPONSES

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
15. Having evaluated in a democratic manner				
a. working with people-oriented organization of conditions and procedures				
b. having a self-evaluation annually				
c. having guidance provided by his evaluator				
d. having knowledge of his on-the-job progress				
e. having the results of his evaluation from his evaluator				
f. having corrections made as needed				
g. having the superintendent allot sufficient time and showing empathy toward the principal				

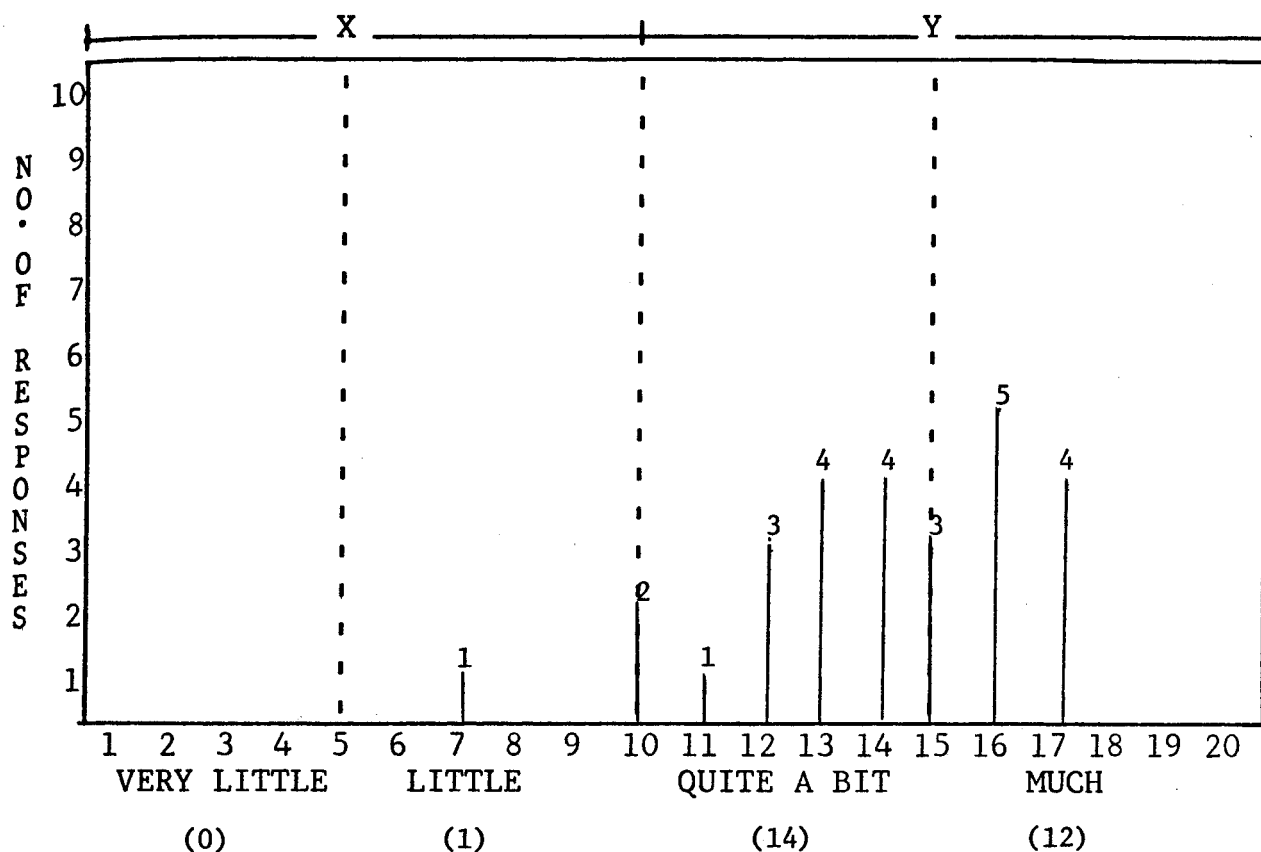
TABLE 68, Continued

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
h. having a realistic number of targets that are being evaluated (as to specific goals and objectives)	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
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TABLE 69

SUMMARY OF RESPONSES TO QUESTION 15



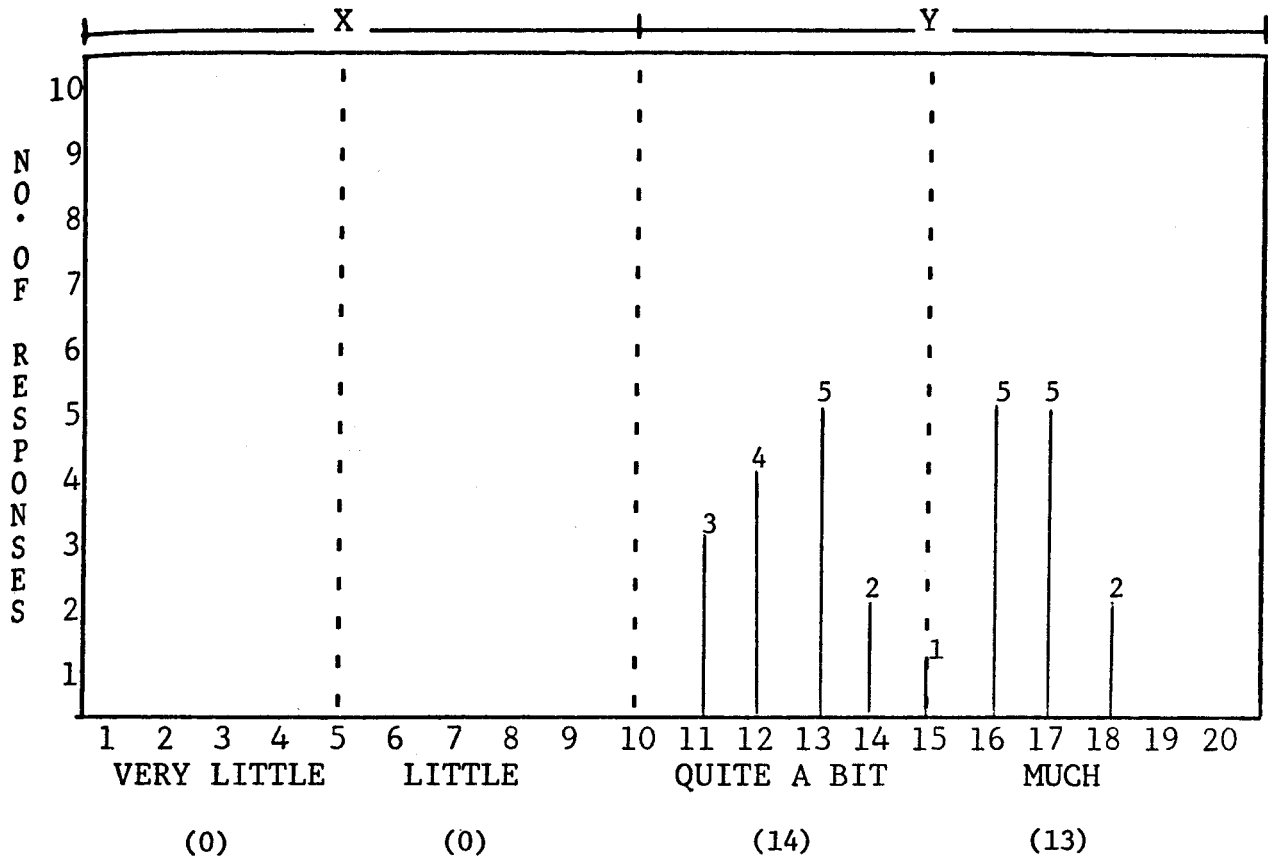
1 26

Question No. 15: In assessing the junior high principal, to what extent do you view principals as: Being Evaluated in a Democratic Manner by the Superintendent.

Question 15 asks the superintendent to what extent he perceives principals being evaluated in a democratic manner by the superintendent. All but one of the responses rated the evaluation process conducted in a democratic manner. The median rating was 14.63.

TABLE 70

SUMMARY OF RESPONSES TO QUESTION 15A



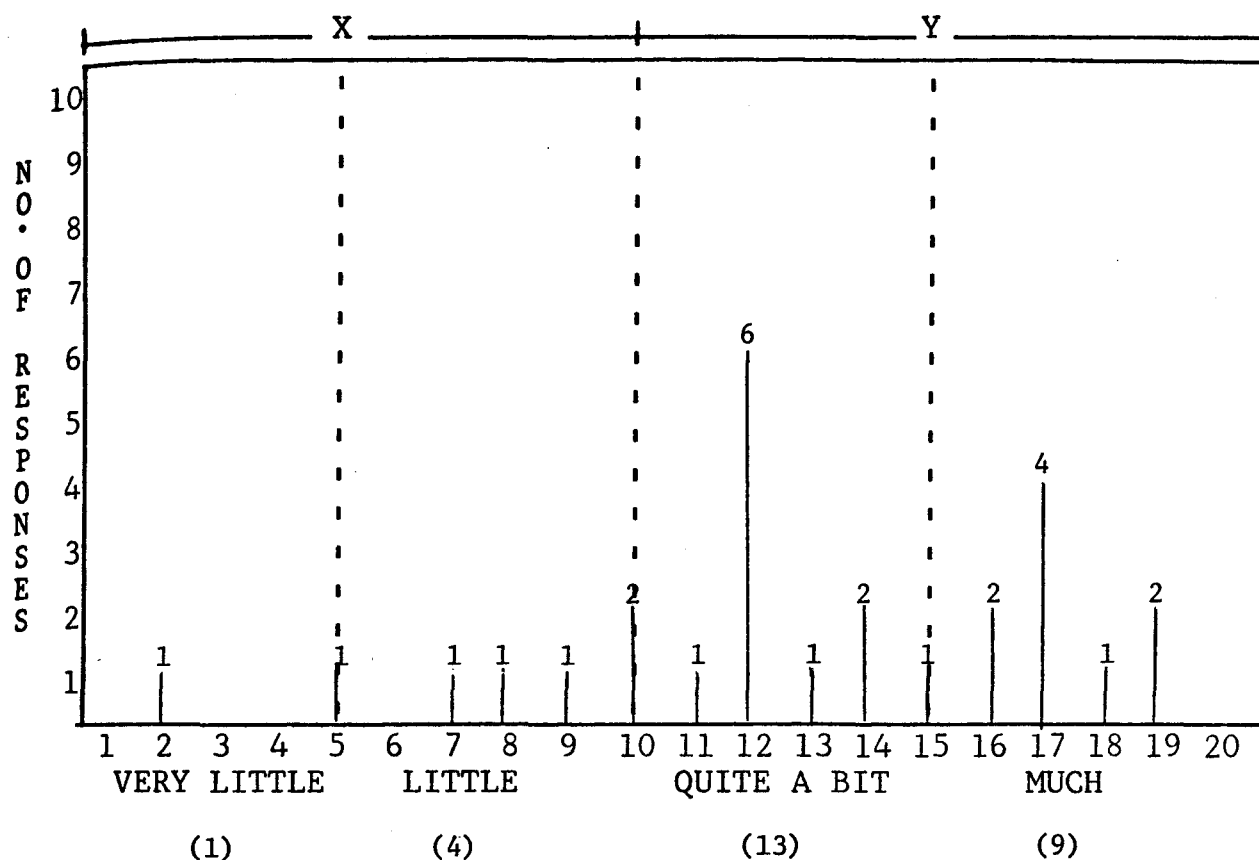
0 27

Question No. 15A: In assessing the junior high principal, to what extent do you view principals as: Working with People-Oriented Organization of Conditions and Procedures.

Question 15A asks the superintendent to what extent does he view principals working with people-oriented organization of conditions and procedures. All of the responses had a rating of eleven or above, indicating a high degree of person to person contact and a procedure that opened communication lines between people. The median rating was 14.75.

TABLE 71

SUMMARY OF RESPONSES TO QUESTION 15B



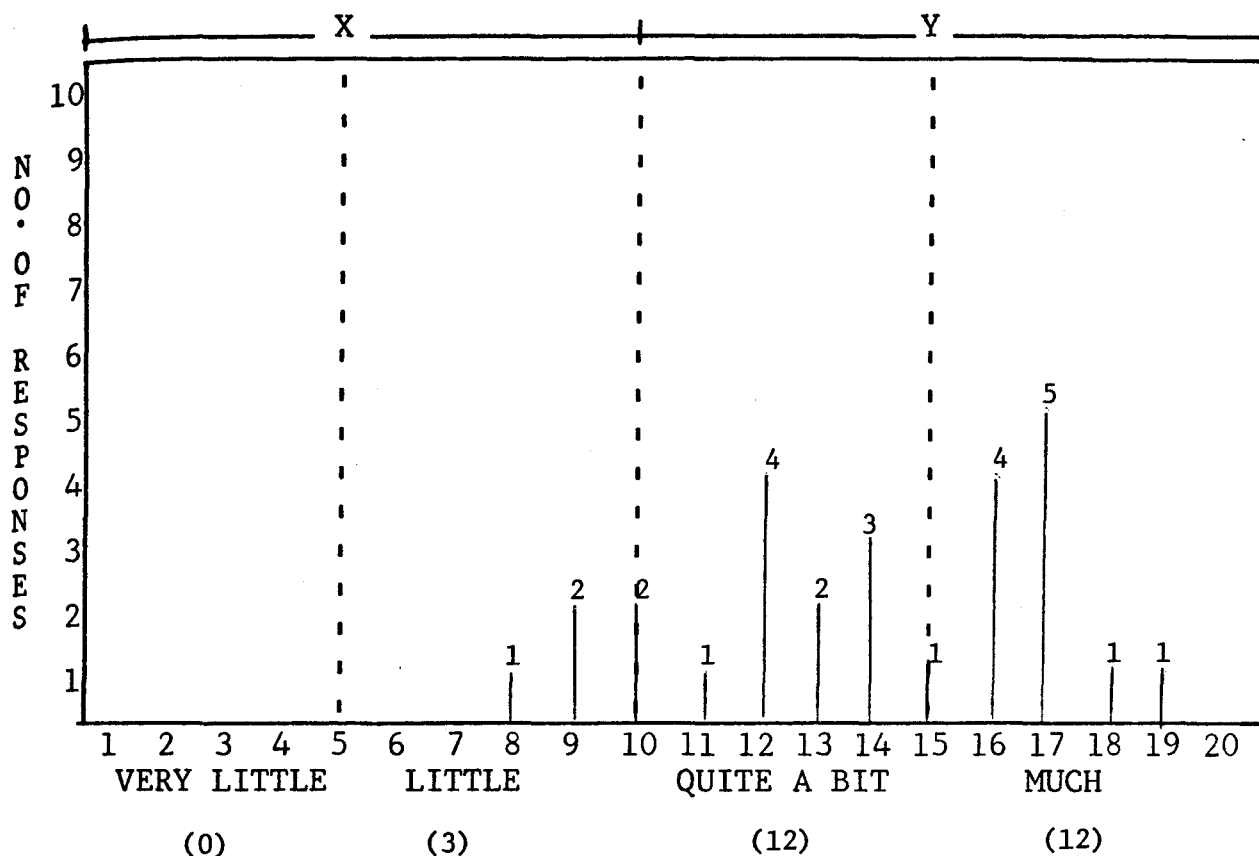
5 22

Question No. 15B: In assessing the junior high principal, to what extent do you view principals as: Having a Self-Evaluation Annually.

Question 15B asks the superintendent to what extent does he view principals having annual self-evaluation. The question attempts to establish an on-going periodic evaluation process. The responses show that all but five of the superintendents perceived principals having an annual self-evaluation. The median rating was 12.92.

TABLE 72

SUMMARY OF RESPONSES TO QUESTION 15C



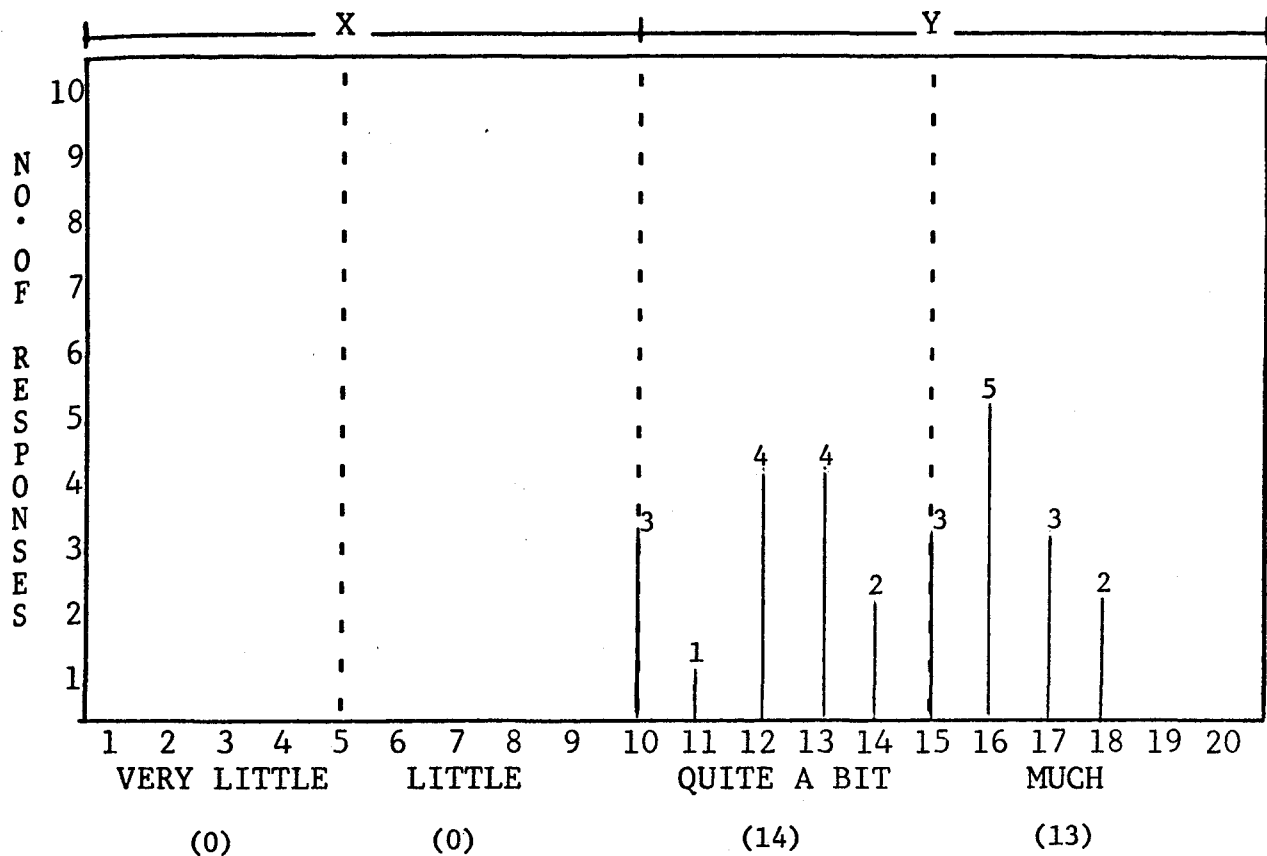
3 24

Question No. 15C: In assessing the junior high principal, to what extent do you view principals as: Having Guidance Provided by his Evaluator.

Question 15C asks the superintendent to what extent he perceives principals having guidance provided by the evaluator. Effective evaluation in a democratic setting places the evaluator in a supportive as well as a judicial role. The supportive role of the evaluator is essential to insure a more honest and free critical assessment of performance and gives the evaluation process an atmosphere of resolving problems in a team approach. All but three of the responses rated this aspect ten or above. The median rating was 14.50.

TABLE 73

SUMMARY OF RESPONSES TO QUESTION 15D



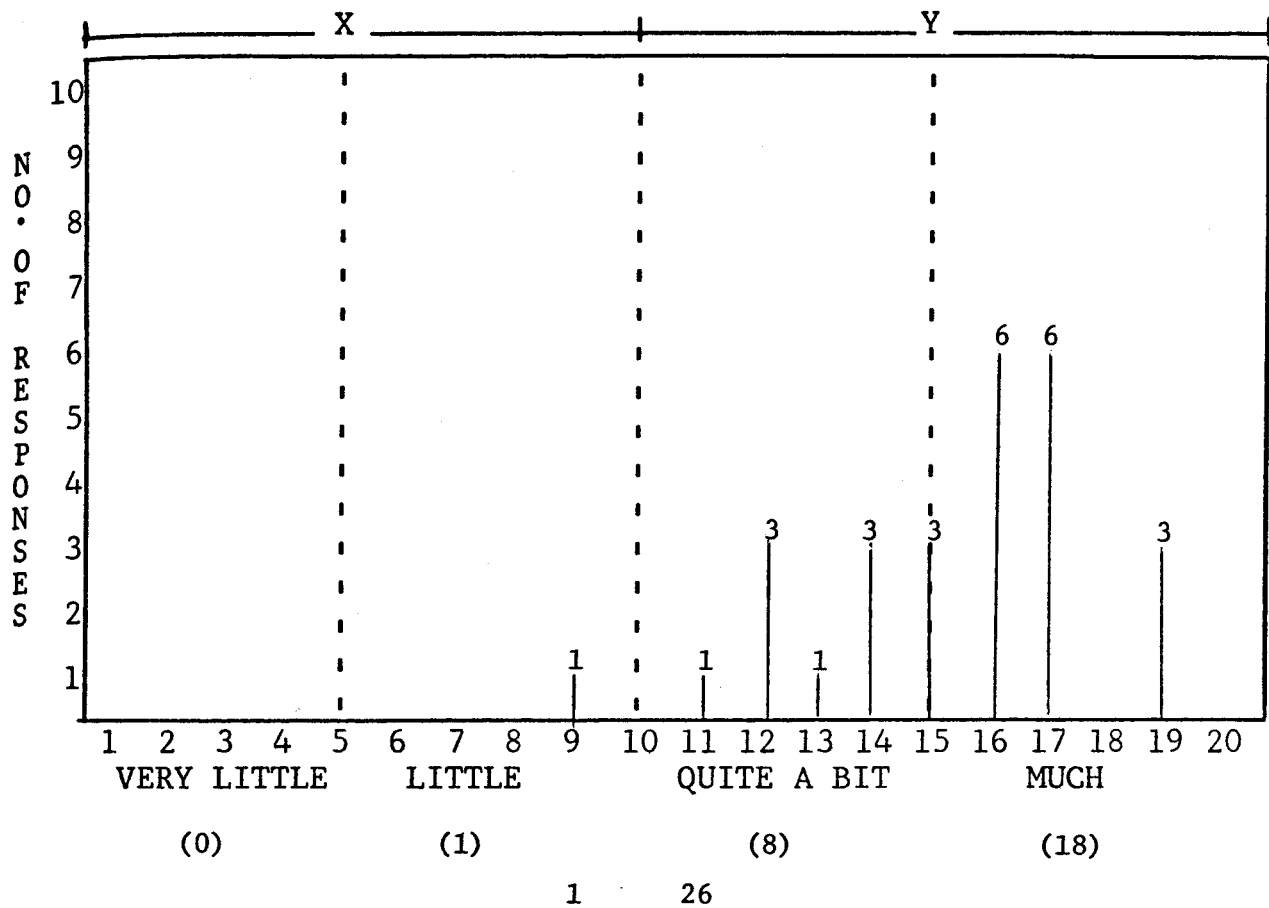
0 27

Question No. 15D: In assessing the junior high principal, to what extent do you view principals as: Having Knowledge of His On-the-Job Progress.

Question 15D asks the superintendent to what extent he perceives the principal as having knowledge of his on-the-job progress. Continuous knowledge of on-the-job progress assures more instant input into problems that may arise and a continuous dialogue between all persons involved in the evaluation process. All responses had a rating of ten or above. The median rating was 14.75.

TABLE 74

SUMMARY OF RESPONSES TO QUESTION 15E

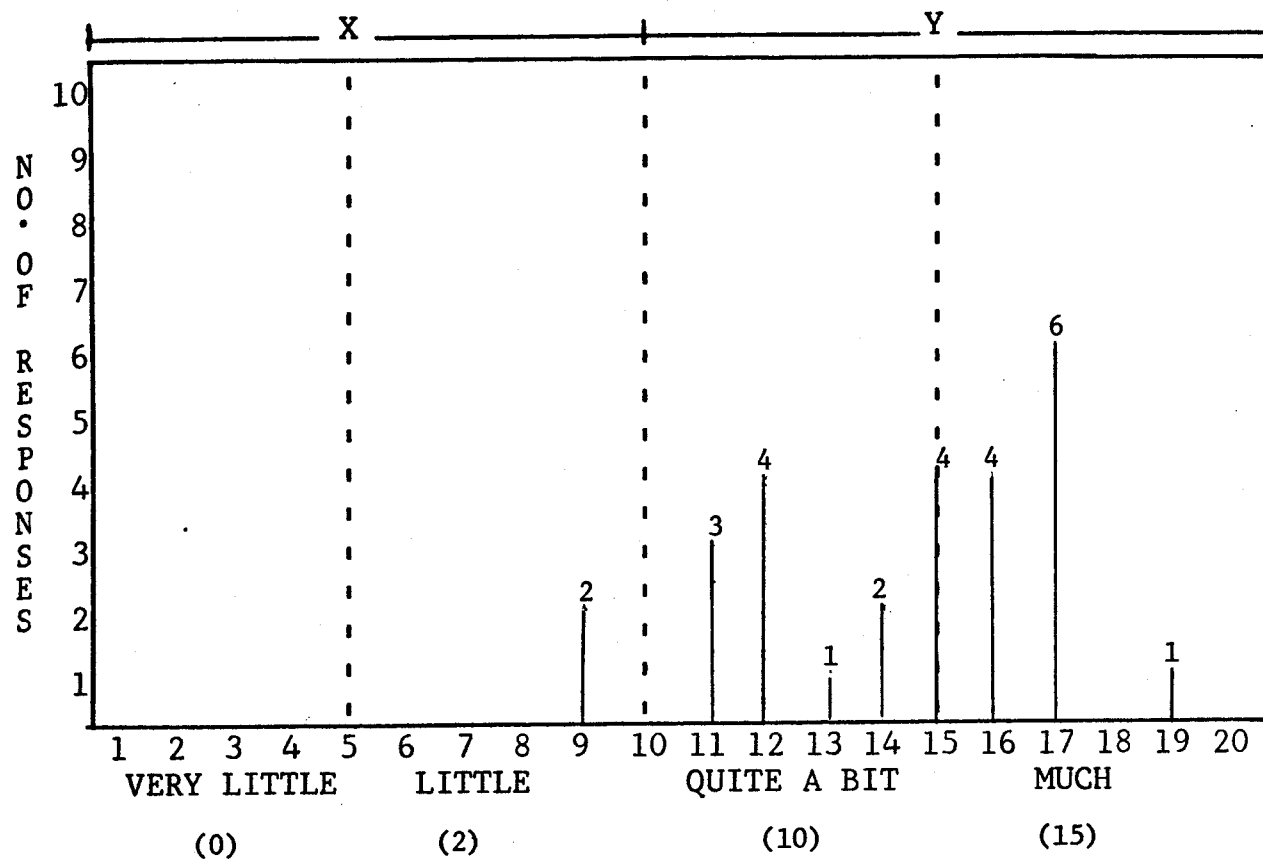


Question No. 15E: In assessing the junior high principal, to what extent do you view principals as: Having the Results of his Evaluation from his Evaluator.

Question 15E asks the superintendent to what extent he perceives principals having the results of his evaluation from the evaluator. In a democratic setting the results of any evaluation must be shared between the evaluator and the persons doing the evaluation. This sharing assures trust and most important, it points to achievement goals for the future. Sharing, more than any other activity, helps to maintain a democratic process. All but one of the responses had a rating of ten or above. The median rating was 16.25.

TABLE 75

SUMMARY OF RESPONSES TO QUESTION 15F



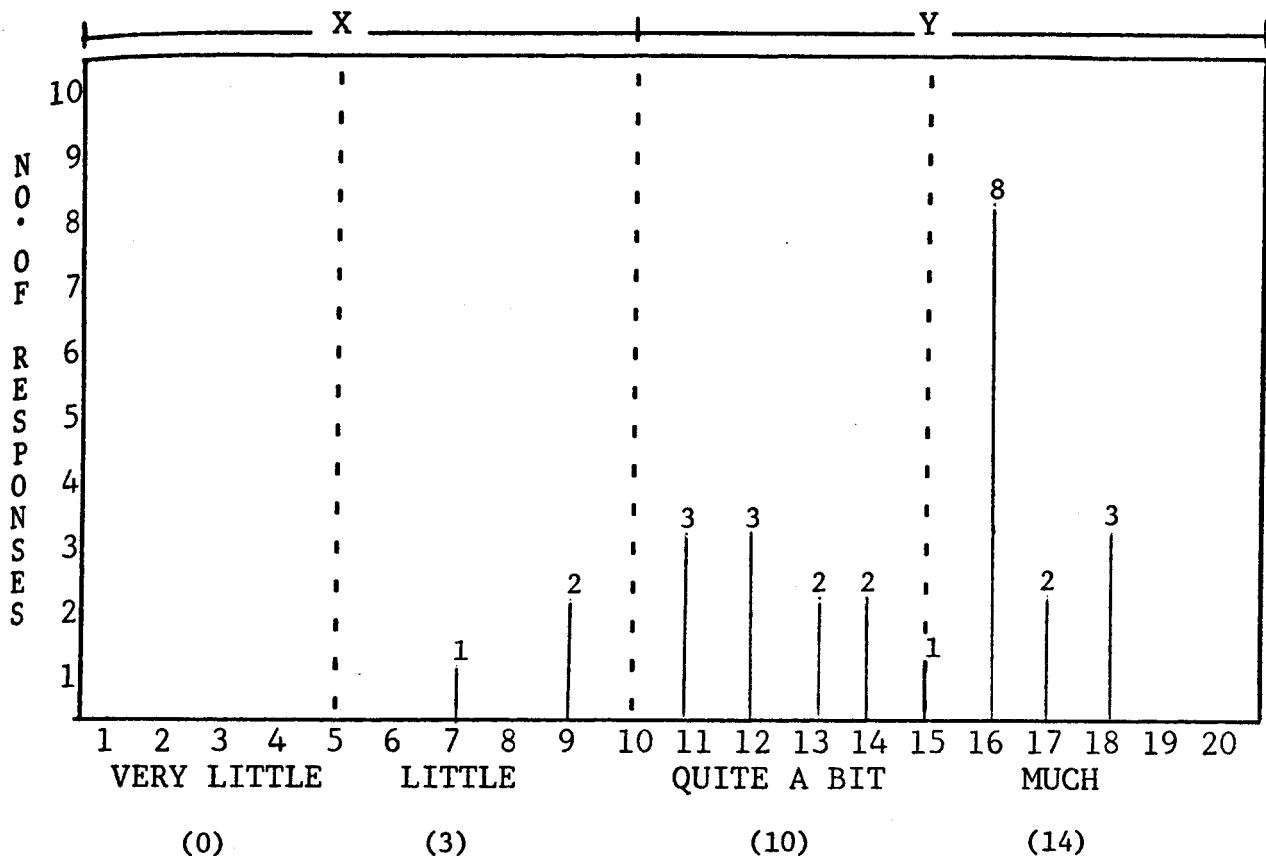
2 25

Question No. 15F: In assessing the junior high principal, to what extent do you view principals as: Having Corrections Made as Needed.

Question 15F asks the superintendent to what extent he perceives principals having corrections made as needed. All but two of the responses had a rating of ten or above. The median rating was 15.38.

TABLE 76

SUMMARY OF RESPONSES TO QUESTION 15G



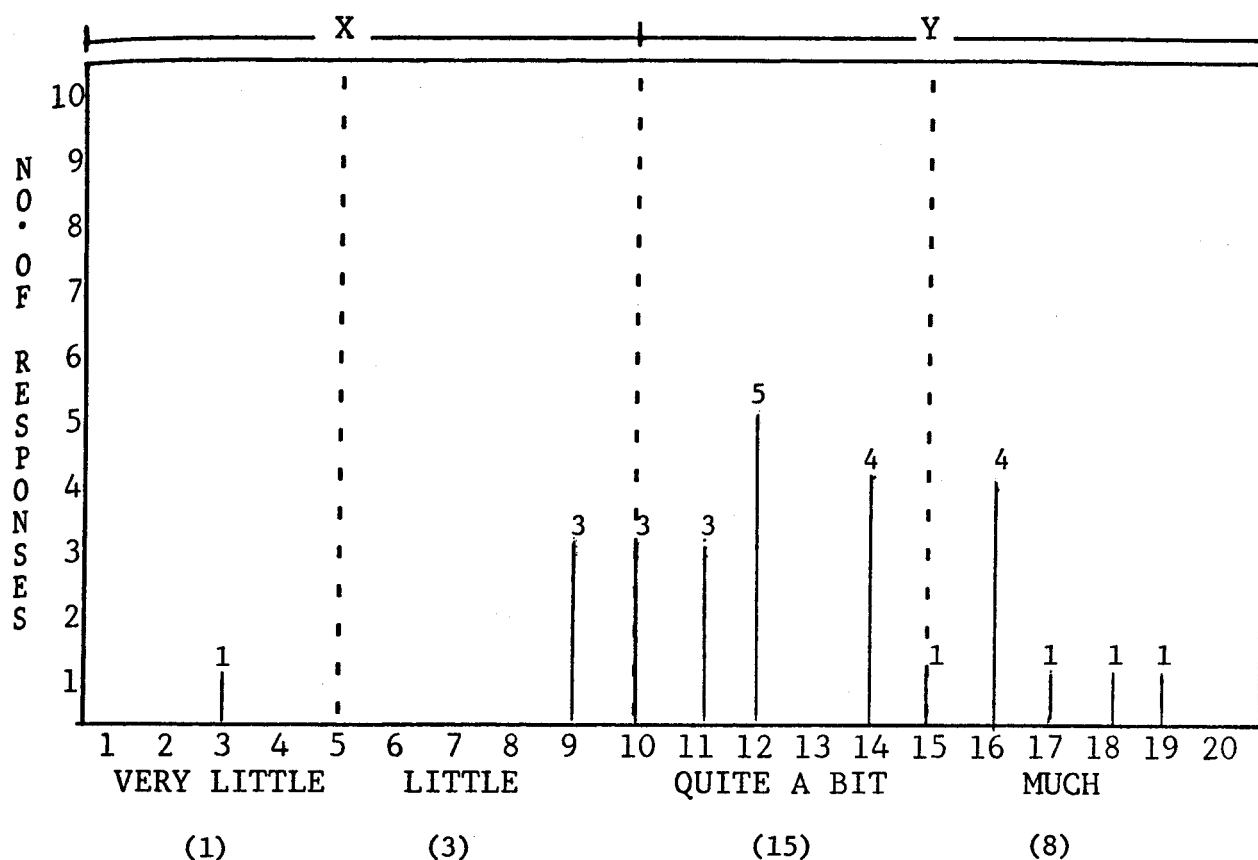
3 24

Question No. 15G: In assessing the junior high principal, to what extent do you view principals as: Having the Superintendent Allot Sufficient Time and Showing Empathy Toward the Principal.

Question 15G asks the superintendent to what extent he perceives principals having sufficient time with the superintendent and that principals perceive empathy from the superintendent for the principal. All but three of the responses had a rating of ten or above. The median rating was 15.50.

TABLE 77

SUMMARY OF RESPONSES TO QUESTION 15H



4 23

Question No. 15H: In assessing the junior high principal, to what extent do you view principals as: Having a Realistic Number of Targets that are being Evaluated. (As to specific goals and objectives).

Question 15H asks the superintendent to what extent he perceives principals having a realistic number of targets that are being evaluated. All but four of the responses had a rating of ten or above. The median rating was 12.70.

Summary of Hypothesis Five

McGregor identified several important factors in an effective group as follows: a comfortable, relaxed, informal atmosphere, discussions with everyone participating, tasks understood and accepted by its members, members listening to each other, decisions based upon consensus, and leadership shifting within the group at certain times. Question 15 dealt with the concept of people orientation and evaluation procedure.

The responses to the items in Question 15 and sub-items contained 19 negative perceptions out of 243 total responses as shown on Table 68. The average of the corresponding median was 14.6, with a range of 12.7 to 16.25.

Responses between 10-20 upheld Theory Y by viewing principals as being evaluated in a democratic manner. This is shown by people-orientation including evaluator guidance to help insure on-the-job progress, as well as self-evaluation. The superintendent also shares his perceptions during conferences, allotting sufficient time to cover job targets.

Perhaps the greatest need expressed by superintendents was the one of how to effectively evaluate principals. This should not surprise us, because in a non-authoritarian model, the concern of the superintendent is to arrive at an effective evaluation procedure, done in a democratic manner. Evaluation is the bulwark of accountability, and in a non-authoritarian model it is essential to insure growth. Delegation of authority, participation in decision-making, and giving the principal a degree of autonomy requires an ongoing periodic evaluation.

The two areas deemed most difficult to accomplish, as viewed by superintendents, were monitoring performance and a proper rating instrument. These difficulties are not new. They appear regularly in all evaluative procedures. More time and study must be devoted to evaluation to make it effective and responsive to all concerned in the evaluative process.

Introductory paragraphs of the district instruments included statements which upheld the perceptions as stated by the superintendents during the interviews.

Thus the fifth hypothesis is accepted, based upon the findings.

Three additional items (Questions 16, 17, 18) were included in the interview questionnaire in addition to those questions dealing with the hypotheses. These questions deal with the areas superintendents perceive as being impediments to effective principal evaluation. Also included in question number 18 were the characteristics that superintendents perceive as contributing to the success of principals.

Two areas remain as being difficult to accomplish to the satisfaction of DuPage County superintendents. They are 1) Monitoring the performance of principals and 2) the proper rating instrument (Table 78).

Monitoring a principal's performance fits in closely with the impediments as marked by superintendents in response to question 17. The three highest impediment areas are: 1) present procedures, 2) time needed to observe or gather information, and 3) time needed to consult with others in gathering information for evaluation of principals. These results are shown on Table 79.

Much dissatisfaction with present rating instruments being used in school districts was expressed. Several districts are presently developing new forms and procedures.

Secondary concern was expressed by superintendents as to setting job targets and dealing with unforeseen circumstances. This is relatively a new addition to principal evaluation using a formal process to rate effectiveness of principals. George Redfern rates this area of performance as making the difference between a principal and a very effective principal.

Characteristics perceived by superintendents as being important for principals to be successful also contain a Y orientation. Human understanding was overwhelmingly chosen as the most important characteristic as shown on Table 80. Enthusiasm (motivation) and integrity ranked second and third

TABLE 78

THE EXTENT THAT AREAS OF EVALUATION ARE MOST DIFFICULT TO
ACCOMPLISH TO THE SATISFACTION OF THE SUPERINTENDENTS

INCLUDED IN THE STUDY

QUESTION NO. 16

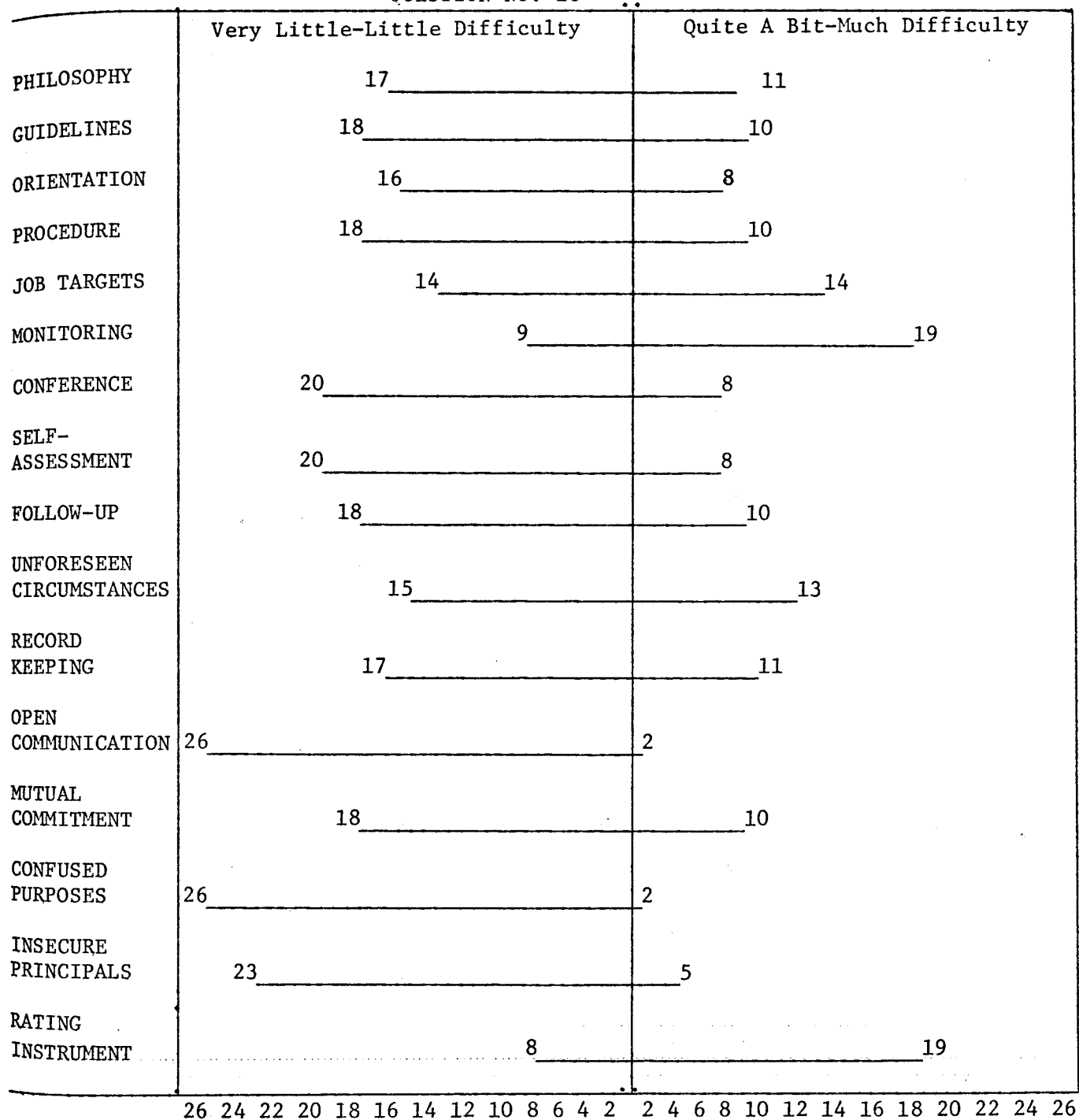


TABLE 79

PERCEIVED IMPEDIMENTS TO EFFECTIVE PRINCIPAL EVALUATION
QUESTION NO. 17

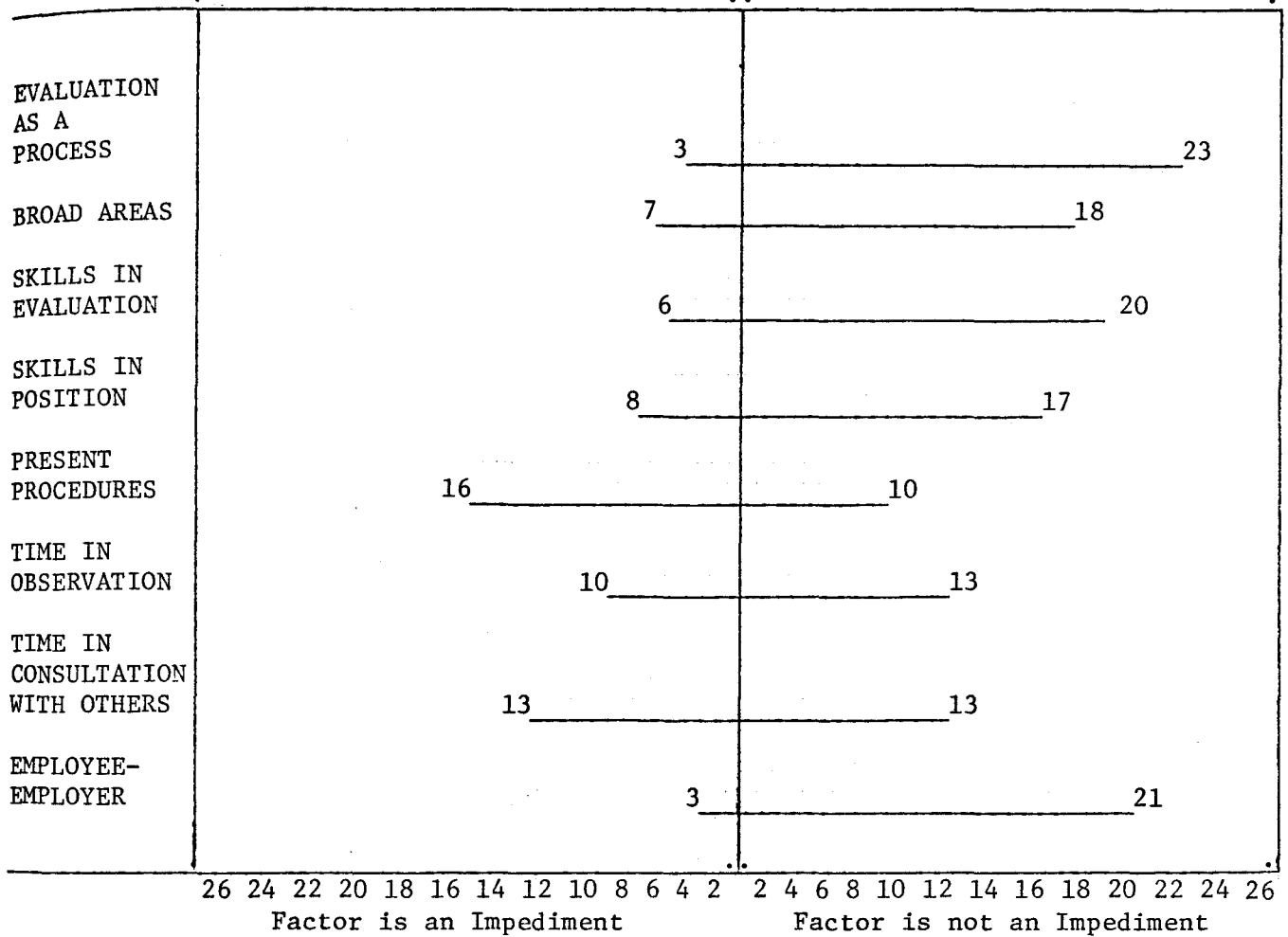


TABLE 80

CHARACTERISTICS CHOSEN BY SUPERINTENDENTS THAT CONTRIBUTE
TO JUNIOR HIGH SCHOOL PRINCIPALS' SUCCESS
QUESTION NO. 18

<u>Personal</u>	<u>Total Score</u>
1. Human understanding	105
2. Enthusiasm	71
3. Integrity	57
4. Self control	40
5. Tact	32
6. Objectivity	27
7. Alertness	20
8. Loyalty	17
9. Poise	16
10. Vitality	7
11. Energy	4
 <u>Leadership</u>	
1. Judgment	81
2. Flexibility	58
3. Initiative	55
4. Command respect	54
5. Creativity	53
6. Ability to influence	53
7. Critical thinking	46
 <u>Background</u>	
1. Ability to manage, organize, supervise	133
2. Inter-personal relations	127
3. Democratic administration	96
4. Experience	53
5. Academic background	47

respectively. Energy, vitality, poise and loyalty were ranked lowest of the personal characteristics listed. These would seem to be less important in the real day to day working relationship within a school building.

Leadership traits ranked highest included judgment, flexibility and initiative, with critical thinking and ability to influence ranking lowest in the estimation of superintendents.

A third area of principal's success was listed as background. Academic training was rated lowest (47) with past experience rating second lowest (53). The two most important items as perceived by superintendents were 1) the ability to manage, organize and supervise, and 2) interpersonal relations. The latter two areas are very important to McGregor's Y theory.

CHAPTER V

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS FOR FURTHER STUDY

Summary

This study was designed to collect and analyze data concerning perceptions of superintendents with regard to evaluation of junior high school principals in DuPage County, Illinois. The main purposes of the study were: (1) to determine selected items on formal DuPage junior high school principals' evaluation instruments as the items relate to the McGregor theory of leadership; (2) to determine perceptions of DuPage County superintendents concerning junior high school principals' leader behavior as it relates to McGregor's theory of leadership; and (3) to determine impediments in the process of evaluating junior high school principals.

The sampled population consisted of twenty-eight superintendents. Each filled in a questionnaire rating junior high school principal leader behavior characteristics in terms of McGregor's X-Y theory components.

In order to bring into focus a complete review of the superintendents, a demographic summary data sheet was used to collect basic information concerning age, training, previous administrative experience, and other related items. Personal interviews and discussions were also held with all superintendents for the purpose of gaining additional insights and views of all of the superintendents.

Superintendents discussed subsidiary points during the interview that related to their perceptions concerning principals. Junior high principals were

seen by the superintendents as being more involved in over-all district planning and decision-making than elementary principals. Those districts that had high school principals relied upon the high school principals even more than junior high school principals in district planning. Other factors that were the result of more district involvement by junior high school principals were: (a) the rank gained by the small number of junior high school principals in any particular district (1-4); (b) similarity to district administrative decisions with more complex considerations brought about by departmentalization, larger staff members and management of human resources; and (c) higher salary based on greater responsibility, longer contract year, and extended daily supervision brought about by co-curricular programs.

Superintendents also perceived junior high school principals as being upward mobile, as demonstrated by their willingness to take on added responsibility at the district level, principals aspiring to a high school principalship or central office position, and as continuing in administrative graduate work.

Conclusions

This study was designed to collect and analyze data concerning the perceptions of superintendents with regard to junior high school principals' leader behavior and the evaluation instruments presently in use in DuPage County, Illinois school districts. Personal interviews with superintendents as well as a questionnaire were used to collect data along with the district evaluation instruments.

Analysis of the questionnaire data was made through the use of the median scores for Hypotheses 1, 2, 4 and 5. The evaluation instruments were analyzed and categorized by the percentage of items in the X, Y, or Does Not Fit

category for Hypothesis 3. This section includes an analysis and implications of the findings.

Hypothesis One

The superintendents participating in the study perceive junior high school principals as (Y) self-motivating leaders who work toward goals when they are congruent with the district goals.

The responses to the items in Question 10 and 12 contained only 14 X responses to 556 Y responses. Responses between 10-20 supported Theory Y as it relates to self-motivation and integration of personal goals with the goals of the district. The median rating of 14.0 and 13.5 respectively supported these Y concepts by: (1) superintendents perceiving junior high school principals as self-motivating; (2) working toward personal goals and district goals; (3) assuming administrative responsibility; and (4) having a voice in decision-making at the district level. Thus, the first hypothesis is accepted based upon the findings.

There are several factors that must be considered when analyzing high principal motivation. Certain people have high needs achievement scores, and they react well to the challenge of the principalship. These principals would include those chosen by the superintendent to play a certain role in a particular school. An example would be the change agent in a school with a stagnant faculty or program. These same principals could be considered upward mobile, wanting to make a name for themselves professionally, and aspiring to a position of added responsibility. Based upon the results of this study, when a superintendent considers the employment of such a candidate, he should probably look for a person who is self-motivated, needing little external prodding, and having demonstrated successful past achievement.

This selection may result in choosing a status position seeker who in the longer haul may not develop into a functional day-to-day leader, earning the respect of the staff and local school community. In that sense, the person could exhibit the Y characteristic of high self-motivation, but not have the personal qualities or ability to function in a team effort with mutually acceptable staff-principal goals. The principal's self-fulfillment may be accounted for, but the organizational goals may not be congruent with the needs of the principal. This lack of congruence must be a part of the consideration when employment takes place.

From another point of view, the central administrative officers may appoint to the principalship an individual whose chief qualification is long experience in teaching. He may carry out the mandatory duties, rules, regulations, and legal requirements, but not be a self-motivated leader. It could also be a status position appointment which may or may not result in a high degree of growth, competency, and influence in the local school.

Thus, McGregor's emphasis on high motivation or lack of motivation may have specific effects which must be considered when placing principals in a local school.

There is a need for skills on the part of the superintendent in weighing these factors. An X-type or a Y-type may mislead the superintendent during an interview and so, great care must be exercised in the selection of a principal. If a superintendent is considering the promotion of an experienced staff member, part of the decision should be based upon how the person performs as an X or Y type in observable situations.

Because so much of the decision about whether a person is X or Y may require keen insight into psychology, it is advisable that a superintendent study

psychology and/or base his decisions on operational items which do not require deep psychological analysis.

McGregor's principle of participation would call for the creation of conditions to encourage growth of subordinates and their ability to accept responsibility. As a practical means of carrying on inservice training, the superintendent could hold sessions for discussion of policies, district directions, and the exchange of opinions. The principals could acquaint the superintendents with the needs and problems of the local school, thus facilitating the removal of obstacles. This practice of direct relations between the superintendent and principals would contribute greatly to the motivation of the principals and to the unification of the administrative team. The principal could have a voice in decisions and direct his energies and capabilities toward the objectives of the district.

In answering Question 10, the superintendents rated three Y areas higher than others. An analysis of (1) identification as a co-worker, (2) experiencing a high degree of freedom, and (3) creative opportunities and growth being encouraged, shows such areas as being dependent upon the attitudes and workings of the superintendent. He must afford the principal the opportunity to function as a co-worker with freedom and opportunity for growth.

It is apparent that the superintendent is less able to measure the principal's own degree of self-fulfillment and self-development. These may be available only through the principal's self-assessment.

Hypothesis Two

The superintendents participating in the interview perceive junior high school principals as (Y) possessing a human desire to achieve goals and accept responsibility rather than (X) being passive and resistant to district needs.

1. The superintendents did perceive principals as not being passive and resistant to change in the district, as shown by a total of 40 X responses out of 195 total responses. The median scores were 5.4, 4.4, 4.6 and 5.5.

2. Principals were seen as being able to direct their own behavior and preferring not to be led by their superiors as shown by median scores of 4.5, 5.5 and 3.3.

Thus, the second hypothesis is accepted based upon the findings.

One implication of the superintendents viewing principals as being passive and resistant to district needs (X behavior) would be the presence of low need-achievement and the principal's preference for direction to be given by the superintendent. The principalship, thus, would provide little challenge or original production on the part of the principal. The evidence indicates that the relationship of the superintendent and principal must be one of motivating force in the professional development of that principal as well as it being a unifying influence in their combined administration. Passivity would be conducive to the development of weak school principals rather than that of developing initiative, responsibility, and efficiency. There would be little opportunity for the superintendent to delegate responsibility or for the principal to develop an advisory relationship with the superintendent.

All of the superintendents interviewed in this study had prior experience as principals. They did not consider themselves as passive individuals and indicated that they would not hire such an individual as a principal in their district. It is evident that the perceived status of the principal is a reflection of the superintendent wanting the principal to be a motivated, professional leader of the school with responsibilities commensurate with the influence which the superintendent has given to him (Y behavior).

While the concept of high principal status is expressed by superintendents, practice may reveal inconsistencies. For example, the principal may be held responsible for his building and its condition, and yet he may not be given authority over the custodial service. Even in the important educational matter of choice of a teacher for a specific position in his school, the principal may not have the opportunity to exercise his own choice.

The principal is in most instances held accountable for the quality of instruction in his school, which should necessitate that he have the authority to evaluate and recommend teachers for promotion and dismissal. There is a need for superintendents to be aware that principals be given authority commensurate with responsibility.

The superintendent may need to clarify the direction of the principal leader behavior by providing administrative guidelines worked out in a cooperative manner with the principals.

The principal is seen as the key building administrator which includes his desire to achieve goals and acceptance of responsibility. As the local representative of the superintendent, he should render service to the school system as the responsible head of the local school where he strives to put into execution the policies of the superintendent with due regard for the needs of his particular school. The granting of local autonomy should be in harmony with the principal's ability to direct his own behavior and preference not to be led by his superior. Thus, the implication is that the superintendent should solicit input to organizational goals from principals so that the principals can work in a climate of shared responsibility and achievement.

In assessing the principal's acceptance of responsibility, the superintendent should also be aware that some principals will seek to make their school

operation conform to the pattern which the superintendent appears to favor, which may result in the putting forth of little effort to develop an organization which is most appropriate for the local school within the guidelines as set forth by the superintendent.

Yet other principals, while attempting to foster the spirit of the guidelines in their school, may embody many features of management that are somewhat unique to that school. The superintendent should be aware of the possibility that such autonomy may bring teacher and parent criticism implying too much autonomy at the local school level, or being out of step with accepted community expectations.

There is a need for the superintendent to remember that not all principals are equally prepared for effective cooperation and participatory management (Y behavior). Appropriate criteria should be developed for the selection of principals to assess the candidate's strength in the dual areas of personal as well as district goal achievement. Effective inservice programming in participatory management for present principals would be an appropriate leadership goal for the superintendent.

Hypothesis Three

The formal evaluation instruments used by superintendents to evaluate junior high school principals mention factors that can be classified as X role items more frequently than Y items.

1. Eighteen districts stated that they had formal evaluation instruments. Thirteen instruments lent themselves to an X/Y evaluation item analysis.
2. Five districts had a written procedure for principal evaluation which was not classified as an evaluation instrument.
3. The analysis of the four major categories place two in the X classification and two in the Y classification. The total of the X items was 607

while the total of the Y items was 582, a difference of 25. The average of the X items was 46.7 percent; the Y items 44.7 percent. The third hypothesis was accepted based upon the findings.

Evaluation or no evaluation is not the point being made in this study, since evaluation is done by all human beings. An evaluation may be formal or informal, objective or subjective, or both. Terms such as accountability and management by objectives have become a part of the educational emphasis in many districts, and have possibly had the effect of formalizing procedures for evaluation of both program decisions and personnel effectiveness.

Ten districts in this study did not have formal evaluation instruments. These districts tended to be smaller in size, usually having one junior high school principal. There seemed to be an opportunity for close day to day interaction between the superintendent and the principal, which was deemed as sufficient monitoring of the principal's leader behavior.

Those districts having three or four junior high schools would also have had more underlying elementary schools necessitating an increase in the supervision and evaluation demands upon the superintendent. When more people are evaluated, there seems to be the need for a more systematized procedure so that fairness and consistency are maintained. Perhaps there is a need to move toward more formal evaluations with the advent of outside pressure on the schools for accountability. This study found principals on merit systems which affected their pay status. It may also have included the implication of future consideration for promotion and job status. When such considerations are involved, great interest on the part of the principal is developed.

When the evaluation of the principal includes criticism of his leader-behavior, some superintendents may have the tendency to back away from direct

written comments and prefer discussion at an appropriate time with that principal. The Y procedure that superintendents should consider would be the use of the principal's own self-assessment on a predetermined basis followed by direct input by the superintendent in an effort to work toward improvement on the part of the principal. Written summaries could then be compiled by the superintendent with management goals for the principal. One district superintendent used a management letter for each principal detailing his analysis and setting forth the district emphasis and possible individual principal goals.

Evaluation is more difficult to carry out when specifics have not been defined. A majority of the districts surveyed in the study did not have a principal job description. There was evidence of a verbalized definition of the principal's role but no written or formal description.

Some districts had gone to the opposite extreme and developed long checklists or charts which had the tendency to concentrate on X related behaviors. This tendency was evidenced in the areas of preconceived leader behavior measured against institutionally set goals. The principal's behavior tended then to be controlled as to actions, efforts, and goals. Little evidence of delegation, job enlargement and participative behavior by the principal was apparently being measured.

The priorities set by the superintendent may not have allowed for the development of instrumentation. There is a surprising spread in the demands of the time, energy and ingenuity of the superintendent, including tasks that would vary greatly in importance and consequence. He must seek a consensus of his board, community, and staff on the goals of the schools for the basis for decisions. He must seek opportunities to create conditions in which the climate for learning and work of the teachers may improve. Thus, the day-to-day problems

must be placed in a meaningful framework. Whatever the area, the superintendent's problems are probably more complex than at any other time in the past.

Some of the major problems illustrating the press upon the superintendency were negotiations with teachers, teacher evaluation of principals, fiscal matters, and decreasing student enrollment. Increasingly, the teachers and their organizations were seeking to obtain a role in the formulation of the major policies, especially on personnel matters which affected the quality of their teaching.

One evaluation matter has apparently not been seen as helpful by the superintendent, that is the emphasis evaluation can place on principal development. If principals are seen as desiring to achieve goals and accept increasing responsibilities, then an on-going program should be developed to define the principal's role, provide for job enlargement, provide periodic summaries of the quantity and quality of work based on objective data and limits of authority. Job requirements should be dynamic with each position matched to the individual. This task can best be accomplished by the superintendent's leadership role in evaluating the principals.

The superintendents identified several areas relating to evaluation as being difficult to accomplish. These areas included the monitoring of principal performance, time for consultation with others to gather input, and proper rating instrument and procedures. In several districts, development of new instruments and procedures were under study when this survey was made.

In summary, while the average of X items on the instruments was higher than those of the Y items, the superintendents' interview perceptions resulted in only 127 X responses to 1,005 Y responses. The superintendents' perceptions of principals being highly in conformance with McGregor's Y approach was not

apparently being measured by the present evaluation instruments. These factors when combined show an apparent distance between the perceptions of the superintendents as verbally expressed and the developed evaluation instrumentation presently in use.

Hypothesis Four

The superintendents participating in the interview perceive junior high school principals as having (Y) a part in the district decision-making process rather than (X) the district modifying the principal's behavior to its needs.

1. The superintendents viewed principals as not having their behavior modified to fit the needs of the district. There were 67 X responses and 378 Y responses with medians of 8.7 and 14.63 for Questions 13 and 14.

2. The principals were not seen as having direct intervention or coordination of their efforts by the superintendent. Superintendents also perceived there was little threat on the part of principals of being removed from the position. There were 44 X responses out of 138 total responses.

3. The superintendents perceived principals as a part of the decision-making team with delegation of responsibility within a decentralized organization, and was not perceived as a lowering of district standards. There were 23 X responses out of 307 total responses.

Thus, the fourth hypothesis is accepted based upon the findings.

The principal should develop a balanced conception of his responsibilities to the district as well as his school. Principals may tend to spend too much time in routine office administration, while they may tend to neglect the personnel program, evaluation and supervision of instruction.

An enumeration of the various kinds of demands made on principals indicates that the performance of the administrative task is a professional

undertaking which should challenge the abilities of the principal. While the principal is responsible for his own building task performance, it does not follow that each task must be performed by the principal. A superintendent should be aware of his principal's strength in balancing his duties, and when needed, provide inservice and assistance as necessary for growth in decision making.

The way in which a principal organizes his work is conditioned in part by his conception of the principalship in the system of which his school is a unit and in part by his own understanding of the demands of his position. This conditioning may be especially true if the principal was appointed from the teaching ranks in that particular school.

The superintendents in this study perceived principals as not only building leaders, but as having a part in district decision-making. This Y type leader behavior suggests an exchange of opinions where the principal may exercise considerable influence in the formulation of new policies, in the modification of established policies, and in acquainting the superintendent with the needs and problems of his particular school. Such participation contributes greatly to the professional morale of the principal and to the unification of the school system.

There are other Y factors which the superintendent should consider. They are: (1) the delegation of appropriate responsibility; (2) the welcoming of advisory relations with principals through a conscious development of communication channels; and (3) seek evidence that the principal has responsibilities commensurate with the influence which the superintendent desires him to exercise. This implies that granting local building autonomy will strengthen the professional influence of the principal and demands an active role for that individual.

The superintendents in this study did not view the principal's role in decision making as an abdication of power or as being inefficient decision making. The superintendent may not be building Y concepts if they keep watchful supervision of the principal. Even when the superintendent is benevolent in his attitude towards the principals, his method may not foster shared responsibility.

It is possible that the superintendent may wish to avoid the display of authority and responsibility, confusing the principal who then may fail to exercise his obligations, due to lack of organization and failure to recognize his district responsibility. This type of leadership was not supported by the superintendents in the survey.

Superintendents viewed their districts as providing for decentralized decision making, delegation of authority, and the constant flow of ideas. One matter not clearly defined was that with acceptance of responsibility for making policy, there is a duty of supporting the policy and doing all one can to make it effective. If this result does not occur, the superintendent may have to modify the principal's leader behavior to uphold the superintendent's wishes. The principal has the responsibility for carrying out the policies which have been formulated. The superintendent should consider consultation with principals so that differences and viewpoints are compromised or clarified.

Superintendents did not perceive principals as having a fear of dismissal. The principal, as the direct appointee of the superintendent, has the right to present and defend vigorously the point of view which differs from that of the superintendent. Although the principal may disagree when the policy is adopted, he should assume the responsibility of supporting it actively and publicly. If he cannot support it publicly and never make it succeed, he has little alternative but to sever his connection with the school system so someone who can and will

support the policy may have the full opportunity to do so. Decentralized decision making and delegation of authority make the hiring of the principal critical and should include follow-up with a strong principal orientation and program of inservice.

A related implication is that of the principal as a middle manager. He is not a teacher and in many instances does not feel he is part of the administrative team. A superintendent should provide leadership by seeking opportunities to insure that principals are a vital part of the decision making process.

Future negotiated agreements with the teachers' associations may provide the needed impetus especially in the areas of working conditions and specific grievance procedures. This could mandate management modifications of the principal's behavior to the carrying out of the demands of the agreement. Thus, the principal's input should be considered by the superintendent.

Hypothesis Five

Superintendents participating in the interview perceive their own involvement in evaluating junior high school principals more frequently as democratic (Y) rather than autocratic (X).

1. The superintendents perceived their district principals as being evaluated in a democratic manner. There were 19 X responses and 224 Y responses.

2. Principals were seen as having sufficient guidance provided by their superiors as well as evaluation and corrective action by an empathetic superintendent.

Thus, the fifth hypothesis is accepted based upon the findings.

The subconcepts stated in Question 15 define the context of democratic evaluation. The superintendents were asked, as in all questions, to mark the subconcepts before marking the major concept in an attempt to get a composite score.

Democratic evaluation was not construed to be an easy process. In fact, it tended to be most difficult due to factors such as development of instruments, job descriptions, time involvement and job targets, which had to be considered by the superintendent.

The present procedures and present rating instruments were viewed as needing attention.

In most districts, the evaluation instruments consisted of graphs and checklists. A pre-determined set of criteria was established as a measuring standard for principals. This practice seems to imply that the success or failure of a principal was measured against the pre-determined criteria.

Several districts lacked mutually developed job descriptions which defined the principal's authority and clarified the broad requirements for the position, making it difficult to assess a person's performance. One implication for the administrative staff is to consider a written responsibility description for the principal. The N.A.S.S.P.'s "The Principalship - Job Specifications for the Seventies," is a concise statement of the principal's role. It should provide the administrative staff with an overall scheme to formulate a principal's job description.

The involvement in monitoring was mentioned as a concern of the superintendents as it involved the day-to-day direction, recognition and criticism of the principal, correction of mistakes, and resolution of difficulties. This involvement could be accomplished to some degree by periodic summaries of work quality, attitudes, and concerns. The expressed expectation of the superintendent was to provide guidance, communication of evaluation results, make corrections as needed, allot sufficient time to each principal in the sharing of the results of the evaluation. This expectation implies more time which was listed as a

difficulty by the superintendents of districts who had small central office staffs.

In three of the larger districts where the central office staff was more adequate, it was noted that better evaluation instruments had been developed or were in process of being developed. Job descriptions for principals had been established with proper input from the principal and more time allocated to effective evaluation procedures.

Self-assessment is a part of democratic evaluation (Y Theory). A few districts had an organized structure in the self-assessment aspect of the evaluation. Other districts had developed checklists which tended to be too detailed and X-oriented. Others had a very general scheme which was basically a verbal review of goal attainment.

Principal achievement of job targets was identified by superintendents as difficult to assess, while considered important to include in the evaluation. George Redfern's system of job targets should be considered by superintendents as a model which could be beneficial in an administrative workshop.

Recommendations

As a result of this investigation, recommendations pertaining to the position of junior high school principal as well as recommendations for further study are presented below.

For District Superintendents and Junior High School Principals

1. During the period of interview discussion with superintendents connected with this study, it was discovered that many of the DuPage districts did not have any type of job description for the position of principal. Although

this was not a part of the study, it is recommended that a viable job description be written on the district level.

2. Many districts did not have a written instrument for evaluating the junior high school principals according to the written job description. It is recommended that such instruments be developed in line with those Y perceptions of the superintendents as expressed during the interview, with consideration given to the wealth of modern day literature pertaining to evaluation of the principalship.

3. Superintendents expressed perceptions that strongly supported McGregor's Y theory. The presently developed instrumentation in this study did not closely align to the stated views of superintendents. It is recommended that such written instruments be developed to more closely conform to expressed perception of superintendents.

4. The evaluation process was shown to have many impediments. The area of rating instrumentation again scored highest, along with monitoring performance and setting job targets. Impediments scoring high also included present procedures being used in districts, time needed for observation and consultation with others. A systematic approach should be developed toward improving those areas as identified in this study.

5. The selection process for junior high school principalships could be enhanced by utilizing an adapted McGregor X-Y perception questionnaire by the superintendent or selection committee when hiring future principals.

6. An inservice program for principals could be established to develop Theory Y approaches in working with the teaching staff, students and parents. This would involve the development of the items as discussed in the summaries of the five hypotheses of this study.

7. The Y theory leader behavior and characteristic findings from this study could be further field tested and revised for use by school administrators in designing a criteria base for selecting junior high school principals.

For Further Study

1. Researchers could make a comparison of leader behavior among urban junior high principals in contrast to suburban junior high principals and in contrast to rural junior high school principals.

2. Research may be conducted on elementary and senior high school principals to compare leader behavior in terms of McGregor's X-Y concepts with that of junior high school principals.

3. Researchers may wish to identify junior high school principal's leader behavior and success characteristics through use of teacher perceptions to determine significant differences, if any.

4. A research comparison could be conducted between principals in large schools or districts with high budget and staff with very small school districts. Will the superintendent's perception differ as to principals' leader behavior?

5. A study could be initiated to compare the leader behavior and success characteristics of junior high school principals with the leader behavior and success characteristics of the superintendents who evaluate them in their principal position. The purpose would be to determine if a natural bias might exist on the part of the superintendents so that their evaluation of the principals would focus on leader behavior similar to that possessed by the superintendent.

6. A similar study of leader behavior could be initiated for central office personnel comparable with that of the building principal. Comparisons could be made between line and staff personnel, consultants, and coordinators.

7. A comparison could be made between the McGregor X-Y perception questionnaire and the Selection Research Institute's Administrator Perceiver Selection Questionnaire. The twelve themes, included in the S.R.I. instrument, could be correlated with McGregor's concepts in a meaningful and possibly predictive combination.

The effective evaluation of principals is a most important task to be accomplished. This rests upon the development of job descriptions and instrumentation to measure the effective gains and deficits of building level leader behavior. Superintendents were very hopeful that this would be accomplished in their own districts in the next few years. McGregor spelled out some important principles to be considered in the administration of a present day school district focusing on the human dimension.

APPENDIX A

SUPERINTENDENT'S MCGREGOR X-Y PERCEPTION QUESTIONNAIRE

ATTACHMENT C

QUESTIONS TO BE USED IN INTERVIEW

1. What is your age? (please circle)

- a. under 25
- b. 25-34
- c. 35-44
- d. 45-54
- e. 55-64

2. What is the highest level of formal education that you have reached?

- a. master's degree
- b. master's degree, plus additional 15 semester hours
- c. master's degree, plus additional 30 semester hours
- d. master's degree, plus additional 45 semester hours
- e. advanced certificate
- f. doctor's degree

3. How many years have you been employed as superintendent?

- a. in your present district A. _____
- b. total years (including other district and states) B. _____

4. How many years have you evaluated the present junior high school principal(s)? _____

5. Are you the direct evaluator of the junior high school principal? _____

6. Do you use a formal instrument for evaluating the junior high school principal(s)? _____

7. How was the present evaluation instrument developed?

- a. by the superintendent
- b. by principals
- c. cooperatively
- d. other

8. To what extent does the evaluation instrument information play a part in final evaluation?

- a. 25 percent to 49-----little extent
- b. 50 percent to 66-----some extent
- c. 67 percent to 75-----moderate extent
- d. 75 percent to 99-----greate extent

DIRECTIONS---

Please circle those items used or considered.

9. Which of the listed sources do you rely upon for information pertaining to evaluation?

- ☐ a. setting targets, objectives, mutually
- ☐ b. self-evaluation by principal
- ☐ c. assessment of personality factors
- ☐ d. assessment of performance factors
- ☐ e. inspection or observation (building visitation) number of visits on average _____ (no.)
- ☐ f. conference with principal including (please check)
 - ☐ praise
 - ☐ criticism
 - ☐ supportable evidence
 - ☐ observation record
 - ☐ assistance provided
- ☐ g. post-conference activities including: (please check)
 - ☐ in-service
 - ☐ study groups
 - ☐ visitation to other schools
 - ☐ committee work
 - ☐ university courses
 - ☐ informal study
 - ☐ workshops
 - ☐ professional organization membership

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
10. Being self-motivating	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
a. having his social and egoistic needs satisfied (self-fulfillment)	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
b. identifying with the superintendent as a co-worker	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
c. experiencing a high degree of freedom	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
d. enjoying his work	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
e. having a significant degree of self-development	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
f. having creative opportunities provided and growth encouraged	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>
g. having growth stimulated, levels of competency raised	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>	<div><div></div><div></div><div></div><div></div><div></div></div>

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
11. Being passive toward district goals and resistant to district needs				
a. being basically passive—a natural tendency				
b. being resistant to change as it is being encouraged within the district				
c. being conditioned by district experience				
d. showing a lack of readiness to direct his own behavior				
e. preferring to be led by his superiors				
f. not assuming responsibilities incumbent upon him due to the nature of the principalship				

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
12. Working toward his personal goals and the district's goals				
a. having responsibility given at bottom of administrative ladder (being involved in decisions when possible)				
b. having creative opportunities for innovation				
c. having obstacles removed; growth encouraged and responsibility assumed				
d. directing his creative energies toward district objectives				
e. having a voice in decisions, being motivated; ready to direct his own behavior				
f. having self-direction; control of his sphere of authority				
g. having capabilities that are being utilized by the district				

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
h. having a realistic number of objectives set (short and long term)				
i. having a job description that is clearly stated and understood				
j. having a greater and more precise understanding of job content and expectations				
k. exhibiting a cooperative effort with the superintendent				

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
13. Having his behavior modified to fit the needs of the district				
a. having the superintendent or central administration direct the principal's efforts				
b. having a significant extent of active intervention by the superintendent or central administration				
c. having a significant extent of his efforts coordinated by the central administration				
d. superintendent having a significant extent of control based on authority or power (example - hire/fire)				

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
14. Having a part in the decision making process				
a. having a voice in the decisions that affect him				
b. having expectations that are directly communicated to him				
c. playing a major role in planning objectives				
d. having responsibility delegated to him (directs his own activities and efforts)				
e. having a part in organizing the elements of the educational enterprise				
f. directing his creative energies toward organizational objectives				
g. having authority that would be viewed as a lowering of standards				

In assessing the junior high principal, to what extent do you view principals as:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
15. Being evaluated in a democratic manner				
a. working with people-oriented organization of conditions and procedures				
b. having a self-evaluation annually				
c. having guidance provided by his evaluator				
d. having knowledge of his on-the-job progress				
e. having the results of his evaluation from his evaluator				
f. having corrections made as needed				
g. having the superintendent allot sufficient time and showing empathy toward the principal				

16. To what extent are the following areas of evaluation the most difficult to accomplish to your satisfaction:

	VERY LITTLE	LITTLE	QUITE A BIT	MUCH
A. Philosophy concerning evaluation				
B. Guidelines for evaluation				
C. Coordination of participants				
D. Eval. procedure to be used				
E. Establishing job targets				
F. Monitoring principal's performance; collecting relevant information				
G. Conf. with principal to assess results				
H. Principal self-assess				
I. Follow-up activities for principal				
J. Eval. of unforeseen circumstances				
K. Evaluation of record keeping				
L. Open communication with principal				
M. Principal/Supt. commitment to follow-up				
N. Confused purposes as to evaluation				
O. Insecure (threatened) principals				
P. Adequate rating instrument				

IS IS . NOT	
_____ A	A. Process presently in use.
_____ B1	B. Knowledge concerning principalship in following areas:
_____ B2	1. broad areas involved in principalship
_____ B3	2. skills involved in evaluation of principal
	3. skills involved in actual position of principalship.
_____ C	C. Procedures as presently in use in your district.
_____ D	D. Time involved in observation(s).
_____ E	E. Time involved in evaluating and consultation with principal.
_____ F	F. Use of others in evaluation process (curriculum, business).
_____ G	G. Employee-employer relationship.
_____ H	H. Others (list).

18. Rank the five leading behavioral characteristics in each of the three columns below that contribute to the success of junior high principal(s).
1. Highest 2. Next highest, etc.

PERSONAL

Enthusiasm _____
 Alertness _____
 Tact _____
 Control (Self) _____
 Poise _____
 Objectivity _____
 Human Under. _____
 Loyalty _____
 Integrity _____
 Vitality _____
 Energy _____
 Other _____

LEADERSHIP

Initiative _____
 Judgment _____
 Critical think. _____
 Creativity _____
 Flexibility _____
 Commands Respect _____
 Ability to _____
 influence _____
 Other _____

COMPETENCY

Academic background _____
 Experience for pos. _____
 Ability to organize, _____
 manage, supervise _____
 Democratic Admins. _____
 Interpersonal Rel. _____
 Other _____

APPENDIX B

DUPAGE COUNTY DISTRICTS INCLUDED IN STUDY

DUPAGE COUNTY DISTRICTS

DISTRICT	ADMINISTRATORS	ADDRESS	GRADES
Addison #4	Carson, Dr. Warren-S Zorn, Dale-P	222 Kennedy Dr. Addison, Ill.	7-8
Bensenville #2	Coad, Dr. James-S Turner, Vivian-P	719 E. Green St. Bensenville, Ill.	7-8
Bloomington #13	Tompkins, Harold-S Erickson, Em.-P	166 S. Euclid Bloomington, Ill.	6-8
Carol Stream #93	Johnson, Elsie-S Kemp, Phillip-P	383 Illini Dr. Carol Stream, Ill.	5-8
Darien #61	Delay, Dr. Mark-S Nothacker, John-P	8S-350 Cass Ave. Darien, Ill.	7-8
Downers Grove #58	Wiscombe, Dr. Arthur-S Johnson, John-P	935 Maple Downers Grove, Ill.	7-8
Elmhurst #3	Smith, Dr. Roland-S Landstrom, Chas.-P	899 N. York Elmhurst, Ill.	6-8
Elmhurst #46	Alford, Dr. John-S Gills, Fred-P	103 S. Myrtle Ave. Elmhurst, Ill.	7-8
Glen Ellyn #41	Hadley, Dr. William-S Chase, Don-P	793 N. Main St. Glen Ellyn, Ill.	7-8
Glen Ellyn #89	Holsteen, Darrell-S Whitaker, Robert-P	250 Park Blvd. Glen Ellyn, Ill.	6-8
Gower #62	Dorrance, Harold-S Storey, Robert-P	7650 S. Clarendon Hills Clarendon Hills, Ill.	4-8
Hinsdale #83	Simcox, Dr. Ron-S Larson, Ralph-P	55th at Grant Hinsdale, Ill.	7-8
Itasca #10	Rusche, Arnold-S Reinertson, N.-P	301 E. Washington Itasca, Ill.	6-8
Lisle #202	Miller, Dr. Ray-S McCoy, William-P	4712 Main St. Lisle, Ill.	7-8
Lombard #44	Chelseth, Robert-S Mueller, Leon-P	150 W. Madison Lombard, Ill.	7-8

DISTRICT	ADMINISTRATORS	ADDRESS	GRADES
Maercker #60	Eilks, Howard K.-S Mundings, Fred-P	5800 S. Holmes Clarendon Hills, Ill.	4-8
Marquardt #15	Kothera, Dr. Richard-S Schoening, Arthur-P	21W364 Belden Ave. Lombard, Ill.	7-8
Naperville #203	Fields, Dr. John-S Drendel, Eugene-P Bergendahl, Don-P	Webster at Hillside Naperville, Ill.	6-8
Queen Bee #16	Kariotes, Dr. Joseph-S Baxiotes, Nick-P	1560 Bloomingdale Rd. Glen Ellyn, Ill.	6-8
Roselle #12	Bagg, E. W. J.-S O'Connell, Dennis-P	100 E. Walnut Roselle, Ill.	7-8
Salt Creek #48	Williams, Dr. Gerald-S Carpenter, John-P	1110 S. Villa Ave. Villa Park, Ill.	5-8
Villa Park #45	Behnke, Dr. Don-S Purcell, Ernest-P Binder, William-P	255 W. Vernon Villa Park, Ill.	7-8
W. Chicago #33	Saiman, Dr. Jerald-S Thayer, Duane-P	312 E. Forest West Chicago, Ill.	7-8
Westmont #57	Manning, James-S Wold, Donald-P	200 N. Linden Westmont, Ill.	6-8
Wheaton #200	Birdsell, Dr. Don-S Bowser, Martha-P Henry, Charles-P Olson, Richard-P Propes, Eugene-P	130 W. Park Ave. Wheaton, Ill.	7-8
Winfield #34	Griffiths, Ed-S Schmidt, Harold-P	Winfield Rd. Winfield, Ill.	6-8
Woodale #7	Mills, Dean-S Masserall, H.-P	543 Woodale Rd. Woodale, Ill.	6-8
Woodridge #68	Tousignant, T.-S Liepold, A.-P	2525 Mitchell Dr. Woodridge, Ill.	7-8

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APPROVAL SHEET

The dissertation submitted by James G. Erickson has been read and approved by members of the Department of Administration.

The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval with reference to content and form.

The dissertation is, therefore, accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

May 27, 1975
Date

MP Keller
Signature of Adviser